Board of Management Meeting

Minute of Meeting held on 1 October 2024 @ 1400 hrs Dumfries

Present:		
Caroline Stuart (CS) - Chair	Jamie Ross (JR)	Susan McLellan (SMc)
Joanna Campbell (JC) Principal	Sharon Hodgson (SH)	Gillian Brydson (GB)
Pete Woods (PW)	Richard Nash (RN)	Kirsty Duncan (KD)
Honor Gibson HG)	Will Dowson	David Burns (DB)
Inga McVicar (IM)	George Clark (GC)	Kate Glendye (KG)
Alastair Irons (AI)	Shane Saunders (SS)	
In attendance:		
Douglas Dickson (DD) – Depute Principal	Karen Hunter (KH) – Executive Director of Finance	Lorraine Grierson (LG) – Governance Professional
Joe McGraw (JM) – Vice Principal People and Transformation	Mary Cheetham (MC) – Minute taker	Candy Munro (CM)(Observer)
Apologies:		
Sue Irving (SI)	Ann Hill (AH)	Claire McLean (CM)

1. <u>Welcome and Apologies for Absence | Verbal | Chair C. Stuart</u>

1.1. The Chair welcomed everyone to the meeting and introduced Candy Munro from CDN, confirming she has been invited to observe as part of the EER process. The meeting was confirmed as quorate.

1.1.1. Apologies were received as shown above.

1.2. <u>Declaration of Interest and Connections | Verbal | Chair C. Stuart</u>

1.2.1. The Chair reminded Members to indicate any declaration of interest as appropriate throughout the course of the meeting. There was a conflict of interest for TU members and staff at item 5 and 8 Workforce Report, and it was agreed that all except Non-Execs would leave the meeting for these items.

FOR APPROVAL

2. Minutes of Previous Meetings and Matters Arising

2.1. Minute of Meeting held 14 June 2024 | Paper 2.1 | Chair C. Stuart

2.1.1   A point of accuracy was raised regarding item 12.2, it was noted a percentage figure had changed since the report was written, and the item would be discussed outwith the meeting.

2.1.2   The minute was approved as an accurate representation of the meeting with amendment noted above.

2.1 Action Log | Paper 2.2 | L. Grierson

2.2.1   LG provided an update on the progress of current actions, confirming that all comments had been addressed and that all actions have been closed. Regarding Action 1, which involves inviting speakers to the Board, LG noted that a schedule of visitors has been created. GB confirmed that she has been in touch with the head of Stranraer Academy re meeting with the board.

2.2.2   Action 2 - the Health & Safety benchmarking is marked as closed, and the report is expected to be presented to the Board in early 2025.

2.2.3   **The Board noted all actions are now complete.**

2.3 Matters arising

2.3.1   There were no matters arising.

FOR DISCUSSION

3 Health and Safety Report| Paper 3.1 | J McGraw

3.1   The VP People and Transformation summarised the paper and reported that the Smart Log initiative is nearing completion, detailed analysis has been conducted, and action plans are underway.

3.2   It was noted that the College has switched insurance providers due to cost considerations.

3.3   A full discussion followed regarding recent self-harm incidents and the rise in student mental health issues. A Board member raised a question about whether these signs had been detected retrospectively, and a discussion on counselling, mental health first aiders and how the College is actively addressing the issues through initiatives like Active Campus followed.

3.4   **The Board Noted the paper.**

4 Student Association Introduction and Report | Paper 4.1 | H. Gibson

4.1   The Board welcomed the new SA Members and thanked them for their first report.

4.2   Updates on recent and upcoming activities were shared, highlighting the following:

- ➢ Ongoing efforts to improve mental health and enhance communication between campuses.

- ➢ Changes to Freshers' Week are being considered based on feedback received, including the possibility of a "one-stop" space. 120 students attended the welcome days.

- ➢ Collaborations with youth workers to create immersive spaces and plans for an accessible wellbeing area.

- ➢ Funding applications, including one to the Holywood Trust, and using raffle proceeds to support the food bank.

- ➢ Development of the NUS Student Mental Health Agreement, with plans to implement it by 2027, starting with the "Care for You" initiative.

- ➢ Plans for a World Mental Health Day event on October 10th, with participants encouraged to wear yellow.

- ➢ A post-Christmas martial arts month focusing on mental health benefits, a sports event titled "12 Exercises of the Month".

4.3 When asked if any support was needed from the Board, the SA requested assistance with funding and sponsorship and it was confirmed that proceeds from a charity coffee event by the College would go to the Student Association.

4.4 SA members to be invited to the EDI Committee.

4.5 The Board noted the report.

5. UWS - Strategic Project | Verbal | J Campbell – Confidential (Non-execs only)

5.1 A confidential minute was taken.

5.2 Action: It was agreed to invite a member from UWS Partnership for an in-depth discussion at the December Board.

FOR APPROVAL

6. Strategic Risk Register | Paper 6.1 | L. Grierson | Approval

6.1 It was confirmed that five risks were assigned to the Board of Management for their review: 1,2, 5, 6 and 12. The Board were advised that after review by ELT, there had been no changes to risks, however after discussion at Finance and General Purposes Committee, the scoring for Risk 7 had been reduced to an inherent score of 12 and a residual score of 6, as the ASOS and industrial action issue had been resolved.

6.2 Regarding Risk 11, a deep dive was conducted at Audit Committee.

6.3 A review of each risk's mitigations has been carried out and a spreadsheet has been created to capture this information alongside sources of assurance/controls, responsible owners and occurrence, which would be checked via the college audit team.

6.4 To encourage and embed a risk management culture and awareness, College Teams

have been asked to include Risk Management as a standing item within their team meetings. This will encourage risk consideration at all levels and help identify significant areas of concern/opportunity which can be captured via an emerging risk register, if necessary, and escalated in line with the College Risk Management Policy.

6.5   A deep dive template was submitted to the audit committee for review and approval.

6.6   The Chair asked for approval on risks 1, 2, 5, 6 and 12. Each Risk was discussed in turn, with a point of accuracy raised against risk 3 page 10.

6.7   The Board Approved the Risk Register.

7.   Finance Update

7.1   **Management Accounts Year End Position Paper 7.1 | K. Hunter | Approval**

7.1.1   The Executive Director of Finance confirmed that the management accounts had been approved by the F&GP Committee.

7.1.2   Confidential to members.

7.1.5   The Board commended the work to balance the accounts and year end position.

7.1.6   The Board approved the Management Accounts year end position.

7.1.7   The Board approved the accounting assumptions for the Local Government Pension Scheme valuation.

7.2   Bad Debts and Scheme of Delegation| Paper 7.2 | K. Hunter | Approval

7.2.1   Confidential to members.

7.2.2   **The Board approved the Bad Debts and Scheme of Delegation.**

7.3   Student Association Accounts| Paper 7.3 | K. Hunter | Approval

7.3.1   Confidential to members

7.3.2   **The Board approved the SA Accounts**

7.4   Annual Internal Audit Summary Report | Paper 7.4| K. Hunter | Approval

7.4.1   KH confirmed the reports had been reviewed by the Audit Committee. The internal audit for AY23/24 resulted in a positive opinion for the year and the Audit Tracker is submitted to Audit committee which monitors progress against actions.

7.4.2   The Board acknowledged another strong year, with an overall rating just below the top level. The Board also commended the responsiveness and the open, challenging, and supportive relationship with the auditors.

7.4.2   **The Board Approved the Internal Audit Annual Summary Plan for AY2023/24.**

PW, DB, HG, SS, SMc and KG left the meeting at 15.40 hrs for items 5 and 8.

8. **Workforce Report | Paper 8.1| J. Campbell | Approval – Confidential (Non-execs only)**

8.1 A confidential minute was taken.

9. **Onboarding, Retention and Attainment Policy| Paper 9.1| D. Dickson | Approval**

9.1 The Onboarding, Retention, and Attainment Policy now consolidates several existing policies to better capture recent changes and align with the College's strategic goals. This unified approach emphasises improving student experiences across their academic journey, enhancing retention, and supporting attainment more effectively. It was confirmed that this had been well scrutinised through SLT and L&T Committee.

9.2 **The Board approved the Onboarding, Retention and Attainment Policy.**

9.3 **Positive Student Behaviour Policy Paper 9.2| D. Dickson | Approval**

9.3.1 The Deputy Principal highlighted that the policy introduces new behavioural guidelines, setting clear parameters for positive student conduct, social media use is also mentioned, which was previously unaddressed. These changes ensure students are aware of expectations and boundaries in a digital and social media-driven environment.

9.3.2 The Board queried student behaviour and whether the College's approach is more extensive or in line with typical standards. It was mentioned that student behaviour policies used to focus mostly on discipline, however, with the evolving changes, most now operate within a broader framework, with an attendee highlighting that the College is already moving away from a purely disciplinary focus.

9.3.3 **The Board approved the Positive Student Behaviour Policy.**

9.4 **Record Retention Policy Paper 9.3| J. McGraw | Approval**

9.4.1 The VP of People & Transformation reported that the policy builds on the ongoing efforts by the Data Protection Team to create a comprehensive Record Retention Schedule for the College. The policy's purpose and the associated responsibilities were outlined.

9.4.2 The VP People & Transformation commended the Data Protection Team for their work. It was confirmed that the Policy had been scrutinised at Finance and General Purposes Committee.

9.4.3 **The Board approved the Record Retention Policy.**

10. **Chair's Report | Paper 10.1 | C Stuart**

10.1 The Chair took the paper as read and asked the Board of Management to **approve** the Committee structure, and the Calendar for AY25-26.

10.2 **The Board approved the Committee Schedule, noting that the SA President will serve as a co-opted member until December Board meeting.**

10.3 **The Board also approved the AY25/26 calendar.**

10.4   The Chair confirmed that the Board's action and development plan had been reviewed, with all feedback received fully actioned and delivered. It was noted that all outstanding actions are now closed, and the plan has been updated for the upcoming year.

11   Principal's Report | Paper 11.1| J Campbell

11.1   The Principal assumed the paper as read and reiterated a few key highlights.

11.2   Confidential to members.

12.   Performance Report Paper | 11.1 | Executive Team

12.1   Confidential to members

12.2   Action: Mission 2030 to be circulated to new members.

HG left 1530 hrs

13.   Committee Chairs Update Key Business/Decisions

➤   Finance & General-Purpose Committee – The Committee highlighted the focus of the previous meeting was Commercial, discussing how the College can better meet employer demands while acknowledging that much work remains to be done.

➤   Learning & Teaching Committee – The Chair reported on a positive start to AY24/25, welcomed new members, and discussed TQEF along with enhancements to student onboarding. Feedback from staff and students indicated that recent changes have been beneficial, and early retention rates are promising. The Committee also congratulated teams for their achievements in the CDN awards.

➤   Audit Committee – The Committee confirmed the completion of the annual audit and reviewed the code of good governance, discussed strategic risks relating to financial fraud and ICT security. The Committee engaged in good discussions and looked forward to welcoming new members. The Board expressed gratitude to the previous Chair for their leadership of the Audit Committee and thanked her for her hard work in the post.

➤   Board Development Committee – The Board were informed that the plan's actions had been reviewed and all completed, and an action plan for 24-25 had been created, new members assigned to various committees as well as discussing succession planning.

For Information only

14.1   Scotland's Tertiary Quality Arrangements*| Paper BOM14.1| D. Dickson

14.1   The Board Noted the report.

15   Code of Good Governance checklist*| 15.1 | L. Grierson

15.1   The Board Noted the report.

16.   Committee Minutes

16.1   Finance & General-Purpose Committee minute, Paper 16.1 was noted by the Board.

16.2   Learning & Teaching Committee minute, Paper 16.2 was noted by the Board.

16.3   Audit Committee minute, Paper 16.3 was noted by the Board.

16.4   Board Development Committee Minute, Paper 16.4 was noted by the Board.

17   Any Other Business | Verbal | C Stuart

17.1   The Chair

18.   Date of next meeting | Verbal | C Stuart

18.1   The date of the next meeting is on 9th December 2024.

DGC
Dumfries and Galloway College
One step ahead

Board of Management Action Log 01.10.24

Key
Ongoing
Closed
Overdue

No	Meeting Date	Action	Lead	Deadline	Status	Commentary
1	14/6/24	CS/JC to compile a list of guest speakers for BoM. Head Teacher from Stranraer to be invited for 1st October meeting.	CS/JC	Sep 24	Closed	List of speakers has been compiled and contact will be made to invite to future board meetings. Stranraer Academy, Head Teacher ...will be invited to attend face to face in June.
2	14/6/24	JM to gather comparative data for tracking trends re H&S incidents and accidents across college sector and bring to BoM.	JM	Sep 24	Closed	Report from Association of Colleges re benchmarking H&S incidents, to be released in early 2025 and brought to BoM. The business schedule has been updated as a reminder.
3	14/6/24	Principals Objectives 24-25 LG to issue last year's objectives and progress and include with future objective setting papers	LG	Jul 24	Closed	Progress against objectives is submitted to the board as part of Principal's Paper which can be reviewed for this year in AC folder. Rem Com Business Schedule has been updated to ensure current Obj/Progress is included in board paper along with proposed objectives.
4	14/6/24	Terms of Reference Issue the REMCOM ToR to the Board for approval and add in point to Audit ToR re Cyber Security.	LG	Jul 24	Closed	Completed and all issued to BoM on 3/7/24.

No	Meeting Date	Action	Lead	Deadline	Status	Commentary
		Issue Audit and Remuneration Committee Minutes to the Board in due course.				

Board of Management

Agenda Item	3
Paper Number	BOM1024-3.1

Date of Meeting	01 October 2024
Location	Dumfries Campus
Title of Paper	Health and Safety Update
Presented by	Joe McGraw
Recommendation	**Discussion**
Freedom of Information Disclosure Assessment	
FOI flag:	☒ Disclosable ☐ Non-disclosable
Reason/s for choice:	
Notes from author: (When will it become disclosable? Has FOI Officer guidance been sought?)	
Further comments/updates after initial submission	

Date added	Added by (name and role)	Comment/detail

Read Time: 5 minutes

1. Recommendation

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

2.   Executive Summary

2.1.1.   Smartlog H&S compliance system roll out continues. 2 x inductions sessions held, staff are now being assigned responsibilities and populating their areas.

2.1.2.   Fire risk assessment visits complete at Dumfries and Stranraer. The College are currently working their way through the report and identifying any actions or opportunities for improvement to implement.

2.1.3.   New engineering inspectors, Allianz, have commenced operations under the new Insurance contract.

3.   Context

3.1.   Statutory Compliance:

3.1.1.   The College are working with a new engineering inspector, Allianz, to carry out statutory inspections across the College Estate. Legislation covered includes:

   ➢ Lifting Operations Lifting Equipment Regulations: This cover items such as passenger lifts, goods lifts, vehicle ramps, car jacks, manual handling equipment etc.

   ➢ Pressure System Regulations: This covers heating and hot water boilers, air compressors, autoclaves, coffee machines and any steam producing equipment

   ➢ COSSH: This specifically covers our provision of Local Exhaust Ventilation, mainly in key dust and fume producing workshops.

3.1.2.   The Estates team have been working closely with Allianz as they begin to undertake these visits, ensuring equipment is available for inspection along with appropriate sub-contractors to assist where necessary.

3.2.   Health and Safety Action Plan

3.2.1.   The following gives an update on the actions agreed on the 2024 Health and Safety Action Plan.

	Action	Timescale	Owner	Dependants	Status
1	Develop new H&S advisor role	January 2024	Director of Estates	VP People and Transformation/Human Resources	Complete. Rachel Young in post from 8/1/2024
2	Refresh H&S committee including TOR/Membership and activities	February 2024	Director of Estates	H&S Advisor/H&S Committee/All College Staff	Complete – Approved at H&S comm 31/1/24
3	Review and standardise all overarching H&S documentation including policies and procedures. This will include H&S policy, Risk Assessment Policy, Fire Policy and associated procedures.	Rolling programme of review to be developed and monitored with an action to complete by August 2024	H&S advisor	College managers – Performance team	Complete Tabled at SLT 21/2/2024 Update 13/09 All previously out of date policies and procedures refreshed and approved.
4	Review H&S training requirements and create H&S training plan	June 2024	H&S advisor	All College Managers – HR Officer	In progress – RY arranging meetings with all managers. Update 13/09 Some additional training requirements have been identified as part of the smartlog onboarding. A revised annual plan will now be formulated for October 2024

5	Create an operating plan of ongoing H&S document review to ensure full compliance with legal obligations ahead of each new Academic Year	March 2024	H&S advisor	All College Manager	Complete This action is now addressed under the new Smartlog System. All documents will have a review date which automatically alerts the relevant personnel. Any overdue items are subject to managerial escalation. Dashboards are incorporated in the system to view non compliance.
6	Source and implement a new COSSH system	December 2024	H&S advisor	Director of Estates and Sustainability/Procurement officer/Identified college staff	In progress – HSE tool being scoped. Update 13/09 New H&S compliance system has a COSHH module incorporate within. This is now to be utilized with 1 area running as a pilot. Training module has been created although may need edited to reflect the change of assessment tool being used.
7	Implement a suitable H&S management system which provide live access to all staff	December 2024	Director of Estates/H&S Advisor	Finance/Director of Business Transformation	In Progress – System in the process of being rolled out. All managers now have access and are working to identify key staff to assign responsibilities to.

3.3.   H&S Start of Term Stats

3.3.1.   The following table will provide the H&S incident stats for the 1st month of the new academic year, with a comparison to the previous year for reference.

Month	24/25	23/24
August	3	1
September	6	11

3.3.2.   An early review of the stats for 24/25 shows a large number being related to health and wellbeing (illness due to dietary issues) and also mental health issues. First aiders are noting increased calls to those who self harm and also have allegedly taken an overdose of medication. Cross team referrals take place where these incidents arise, making sure the students are seen by student support teams immediately.

3.3.3.   None of the above stats relate to any staff incidents.

3.4.   Association of Colleges Benchmarking

3.4.1.   The College has again supplied data to the AoC H&S benchmarking exercise. This allows a view of the College sector, albeit predominately English sector for this exercise, to review any key themes arising regarding H&S accidents/incidents. This report is due to be shared with all participants in early 2025.

4.   Strategic Implications

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

5.   Risk

Risk	Mitigations
Risk 12. Health and Safety (BOM)	➢ 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.

6.   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

Billy Currie
Director of Estates and Sustainability
19 September 2024

Board of Management Committee

Agenda Item	4
Paper Number	BOM1024-4.1

Date of Meeting	01 October 2024
Location	Dumfries Campus
Title of Paper	Student Association Report
Presented by	Honor Gibson
Recommendation	**Discussion**
Freedom of Information Disclosure Assessment	
FOI flag:	☒ Disclosable ☐ Non-disclosable
Reason/s for choice:	
Notes from author: (When will it become disclosable? Has FOI Officer guidance been sought?)	
Further comments/updates after initial submission	

Date added	Added by (name and role)	Comment/detail

Read Time: 3mins

1.   Recommendation

1.1   The Board is asked to note and discuss the activity undertaken and the progress made by Dumfries and Galloway College's Student Association in the beginning of academic session 2024/25.

2.   Executive Summary

2.1   The purpose of this report is to showcase the work of the Student Association to the Board of Management.

2.2   The start of the academic year seen a change to the student association team. We said goodbye to Adnan and Annette and thank them for their efforts throughout the 23/24 year.

3.   Context

3.1   Activities

3.1.1   <u>New Team</u>

3.1.2   Our new Student Association team started in their post's week commencing 19th August. The team includes:

7 Student Association President – Honor Gibson
7 Vice President (Dumfries Campus) – Shane Saunders
7 Vice President (Stranraer Campus) – Leah Dey

3.2   <u>Welcome/Induction Days</u>

3.2.1   Honor attended the welcome days and worked alongside the Student Journey team to support incoming students that allowed them to familiarise themselves with their surroundings and they also had a tour of the facilities available to them. Honor introduced herself to the students, letting them know that they are supported within the college. Student advisors, admissions and funding were also on hand to talk to students who had questions.

3.2.2   We welcomed around 120 students over the three days, and the feedback was positive from those that attended.

3.3   <u>Freshers Events</u>

3.3.1   Dumfries Campus held their Freshers on 9th – 13th September during lunch breaks. Overall, we welcomed around 20 businesses and organisations to hold stalls that provided information and freebies (a huge hit) to the students.

3.3.2   Stranraer Campus will be holding their Freshers on the 25th September (after this report is written). Feedback from the stall holders has been positive – out of the 20 business/organisations to attend, 9 gave feedback through a Microsoft teams form with 100% telling us they will come back to do another event with us.

3.3.3   Some asked if we could change the location, which is now being discussed with Connor McGeorge, the Active Campus Co-Ordinator, to make it more inclusive to all students, with one commenting: *'The location of the event would have been better if it were in one big room rather than a corridor to make it more of a destination. I am not sure whether this is possible for future events.'*

3.3.4   Youthwork also attended Freshers – and had great success with their beer goggle activity, with around 40 students taking part. The Student Association will be working with Michelle from Youthwork to gain insight into the students' wellbeing and promote engagement within the college.

3.4   Class Representatives

3.4.1   Due to Freshers, Honor has not been able to get round to classes, but she did talk to many students during the freshers event. There are 17 students signed up as class reps out of a possible 40. With Stranraer being the focus for the 25th September we're hoping to have all reps for Stranraer in on this date.   All information has been sent to Curriculum Managers, it is on our social media pages and there are posters on the wall and in the leisure zone for people to apply via QR code or e-mail.

3.5   Funding Applications

3.5.1   The Student Association has applied for funding at Tesco, Morrisons and The Holywood Trust. Other avenues are being looked at to help fund the food bank which is open to all students. The last funding that was raised at the 'Above and Beyond' awards was used to restock the foodbank for this block. So far, the foodbank has been used by around 10 students, some of whom have been there more than once.

3.6   Support Services

3.6.1   Students were able to download a virtual guide to the Student Portal to understand what it is about and how support services are available to all students across the college. campuses.

3.7   NUS

3.7.1   Honor will be working with Helen Brown from NUS on the Student Mental Health Agreement (SMHA) Project to get it out of the planning stages and put into practical use. This will go towards the 'Here for You' initiative that the Student Association will be looking to hold in December/January time.

3.8   Upcoming Events

3.8.1   The next event the Student Association are looking to hold will be centred around 'World Mental Health Day' where we would like to ask students and lecturers to wear yellow to represent how *'Less than 1 in 3 young people are getting the support they need for their mental health. This needs to change. With your support – it can!'*

3.8.2   We would be looking for a donation from those taking part to go towards a wellbeing area that will hopefully be created in memory of a tutor who passed away 2 years ago. There has been £500 raised to go towards this already, thanks to a past student's fundraising campaign in the summer holidays.

         Strategic Implications

4.1   This paper links to all strategic priorities in the Student Experience Strategy.

5.   **Risk**

Risk	Mitigations
Risks 8,9,10	➢ Failure to achieve an effective student experience

6.   **Implications**

Financial	**YES**	Failure to gain additional funding will affect the student wellbeing and college experience.
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.

Honor Gibson

Student Association President

24/9/24

Dumfries and Galloway College

Board of Management

Agenda Item	6
Paper Number	BOM1024-6.1

Date of Meeting	01 October 2024
Location	Dumfries Campus
Title of Paper	Strategic Risk Register
Presented by	L Grierson
Recommendation	**Approval**
Freedom of Information Disclosure Assessment	
FOI flag:	☒ Disclosable ☐ Non-disclosable
Reason/s for choice:	
Notes from author: (When will it become disclosable? Has FOI Officer guidance been sought?)	
Further comments/updates after initial submission	

Date added	Added by (name and role)	Comment/detail

Read Time: 29 Minutes

1. Recommendation

1.1. The Board are asked to consider and review, in the first instance, Strategic Risks 1, 2, 5, 6 and 12 which are assigned to it.

1.2. After consideration by relevant Committees and recommendations from Audit Committee, the Board of Management are asked to consider, and if so minded, approve the whole Strategic 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   Currently there are 4 major risks rated 16-20, however after mitigations have been applied, only Risk 3 retains a major rating.

3.2   Risk 3: Failure to achieve institutional sustainability - the inherent risk has a **fundamental 25 rating** (purple), but after mitigations, the residual rating of 20 still remains a **major risk**. In line with the current concerns around the external financial position, this continues to be monitored closely.

3.3   The Board of Management has 5 risks assigned to it for review.   All risks have undergone a mitigation review and updated accordingly with any amendment by ELT owners to the scoring noted below:

> ➢   Risk 1: Failure of College strategy to meet the needs of Dumfries and Galloway Region and/or national priorities – **no change**

> ➢   Risk 2: Legal actions; serious accident; incident or civil/criminal breach -**no change**

> ➢   Risk 5: Business Continuity Incident – Fire, Systems, Emergency Procedures, Health – **no change**

> ➢   Risk 6: Failure to meet regulatory obligations – **no change**

> ➢   Risk 12: Health and Safety – **no change**

3.4   **Committee Updates**

3.4.1   <u>Learning and Teaching Committee</u>

> ➢   Risks 8, 9, 10 - No changes to grading – mitigations updated.

3.4.2   <u>FGP Committee</u>

> ➢   Risks 3 - No changes to grading – mitigations updated.
> ➢   Risk 7 – Industrial Relations – The Committee discussed the risk and agreed that pay disputes had been resolved for this year and EIS have agreed to the pay award for 25-26. ASOS has also come to an end and student results are being uploaded. Support staff pay award for 25-26 is yet to be agreed, however, it was agreed that the scoring should be amended and reduced to Inherent 12 and Residual 6 as the immediate threat of industrial action has been significantly reduced.

3.4.3   <u>Audit Committee</u>

> ➢   Risk 4 – Financial Fraud – **no changes**

> ➢   Risk 11 – Failure to achieve and maintain systems and operable and secure ICT – **no change. A deep dive discussion was held by the Audit Committee.**

4.   Risk Management Audit Update

4.1   Mitigations for the 3 lines of defence have been reviewed and updated for all risks. A spreadsheet has been created to capture this information alongside sources of assurance/controls, responsible owners and occurrence which can be viewed here: Risk Mitigations and Owners.

4.2   Responsible owners will be made aware that the gathering of evidence to support these mitigations will be carried out by college audit team as part of their audit checks and to support deep dive discussions at the Board.

4.3   Risk discussions take place during Operational Planning, Curriculum Reviews, Support Service Reviews where emerging risks can be captured. However, to encourage and embed a risk management culture and awareness, College Teams will be asked to include Risk Management as a standing item (if not already so) within their team meetings. This will encourage risk consideration at all levels and help identify significant areas of concern/opportunity which can be escalated, if necessary, in line with the College Risk Management Policy.

4.4   An emerging risk register has been created to capture any significant risk which may result in it being escalated to the Strategic Risk Register. However, the register will be brought to SLT for consideration in the first instance, before going to Audit Committee and the Board .Emerging Risk Register

4.5   A score table has been added to the risk register to provide guidance to owners on grading risks and provide assurance to Audit committee and the Board on how the scores are calculated.

5   Strategic Implications

5.1   The risks associated with Audit Committee link into the following strategic priorities: Priority 1 – Student Experience, Priority 4 – Growth and Financial Sustainability; Priority 5 – Systems and Infrastructure

6.   **Risk**

Risk	Mitigations
All Risks	➢ Paperwork attached for reference.

7.   Implications

Financial	YES	Financial loss, fraud and reputational damage and impact to financial sustainability.
Legal	YES	Failure to meet regulatory and compliance obligations.

Learning and Teaching	**YES**	Serious impact to the college's ability to operate and deliver education to students, financial loss, loss of data and reputation.
Equalities	**NO**	

Lorraine Grierson
Governance Professional
23 September 2024

Dumfries and Galloway College

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	🟧	Open	=
2	Legal actions; serious accident; incident or civil/criminal breach (BoM)										
		5	3	15	🟧	3	2	6	🟩	Cautious	=
Responsible Person – Executive Director of Finance											
3	Failure to achieve institutional sustainability (FGP)										
		5	5	25	🟪	4	5	20	🟥	Cautious	=
4	Financial Fraud (AUD)										
		4	3	12	🟧	3	2	6	🟩	Averse	=
6	Failure to meet regulatory obligations (BoM)										
		3	5	15	🟧	5	1	5	🟩	Avoid	=
Responsible Person – Vice Principal People and Transformation											
5	Business Continuity Incident – Fire, Systems, Emergency Procedures, Health (BoM)										
		4	4	16	🟥	4	3	12	🟧	Avoid	=
7	Failure to achieve effective Industrial Relations (FGP)										
		3	4	12	🟧	2	3	6	🟩	Cautious	v
11	Failure to achieve and maintain systems and operable and secure ICT (AUD)										
		4	5	20	🟥	3	5	15	🟧	Avoid	=
12	Health and Safety (BOM)										
		4	5	20	🟥	3	4	12	🟧	Avoid	=
Responsible Person - Depute Principal Learning, Skills and Student Experience											
8	Failure to achieve highest academic performance levels (LT)										

3	4	12	🟧	2	4	8	🟩	Cautious	=
9	**Failure to adhere to academic compliance arrangements (LT)**								
4	3	12	🟧	2	2	4	🟩	Avoid	=
10	**Failure to achieve an effective student experience (LT)**								
3	4	12	🟧	2	4	8	🟩	Cautious	=

Risks which should be monitored by the Risk Management Group:	Scores: 1 – 8	Minor Risk	
Risks to be brought to the attention of SLT and Board of Management:	Scores: 9 - 15	Moderate 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	Critical Risk	

Score	Impact	Likelihood
1	Insignificant: the risk has minimal to no effect on the College's operations, objectives, reputation, stakeholders or financial sustainability.	Highly Unlikely: the likelihood of the risk occurring is minimal. It would be estimated that the risk has a 1-5% chance of happening.
2	Minor: the risk may cause slight disruption or impact on the College's operations, objectives, reputation, stakeholders or financial sustainability.	Unlikely: the likelihood of the risk occurring is unlikely but still possible. It would be estimated that the risk has a 6-25% chance of happening.
3	Moderate: the risk has a noticeable impact or disruption, affecting the College's operations, objectives, reputation, stakeholders or financial sustainability.	Possible: the likelihood of the risk occurring is reasonable. It would be estimated that the risk has a 26-50% chance of happening.
4	Major: the risk has a substantial impact on the College's operations, objectives, reputation, stakeholders or financial sustainability.	Likely: the likelihood of the risk occurring is probable. It would be estimated that the risk has a 51-75% chance of happening.
5	Critical: the risk is a severe threat to the College's operations, objectives, reputation, stakeholders or financial sustainability.	Almost Certain: the likelihood of the risk occurring is highly likely. It would be estimated that the risk has more than a 75% chance of happening.

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

Minor (1-8)
Acceptable level of risk subject to periodic review.

Moderate (9-15)
Moderate level of risk subject to regular monitoring and mitigating actions and plans being in place.

Major (16-20)
Unacceptable level of risk requiring immediate actions and plans to prevent or mitigate.

Critical (21-25)
Critical level of risk requiring urgent attention and actions to prevent or mitigate.

Dumfries and Galloway College

Strategic Objective:	Risk No: 1 Failure to meet Region/National Priorities	

Reference to 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	

GROSS RISK SCORE (i.e without controls in place)					
LIKELIHOOD	(A) 4/5	IMPACT	(B) 4/5	What is the total risk score? (A x B)	**16/25**
The **GROSS** risk is therefore: (MIN/MOD/MAJ/CRIT)	**Major Risk**				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
Front Line **(Management Assurance)** **Operational Delivery /Systems /Quality Assurance /Supervision**	• Operational Plans • PRDs • Membership of REP • Mission 2030	• Clear performance metrics for all strategic outcomes and linked to individual performance targets reviewed by Line Managers • SLT monitoring
Organisation Oversight **Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance**	• Portfolio Review 1 - PI and Curriculum Plan • Portfolio Review 2 - PI Review • Reportage to BoM on Mission 2030	• 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 and BoM
Independent Assurance **Internal Audit / external bodies**	• Annual Engagement Visit by Inspection Body • Self Evaluation Reportage to SFC • Audit of Plans	• Education Scotland /QAA • Ongoing engagement and reporting to SFC • External Audit • BoM oversight

NET RISK SCORE (i.e with controls in place)					
LIKELIHOOD	(A) 3/5	IMPACT	(B) 3/5	What is the total risk score? (A x B)	**9/25**

Risk Status	Meeting 1 MOD	Meeting 2	Meeting 3	Meeting 4

MEETING	AMENDMENTS TO RECORD AND PLANS TO TREAT
Q1	Owner – reviewed and updated mitigations

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 Legal Actions, Serious Incidents

Reference to 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	

GROSS RISK SCORE (i.e without controls in place)					
LIKELIHOOD	(a) 5/5	IMPACT	(b) 3/5	What is the total risk score? (A x B)	**15/25**
The **GROSS** risk is therefore: MIN/MOD/MAJ/CRIT	**Medium Risk**				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
FRONT LINE (Management Assurance) Operational Delivery /Systems /Quality Assurance /Supervision	• Health and Safety Risk Assessments • H&S Training • H&S Committee	• Records of staff training and completion • Line Manager oversight
OVERSIGHT OF MANAGEMENT ACTIVITY Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance	• H&S Checks • EDI Annual Report	• Monitoring and reporting in key areas – e.g., H&S, equalities, employee engagement/Staff surveys

INDEPENDENT ASSURANCE Internal Audit / external bodies	• External audit of fire systems • External audit of H&S • BoM Audit • EDI Report	• Internal and External Audit • BoM oversight • Reportage to SFC

NET RISK SCORE (i.e., with controls in place)					
LIKELIHOOD	(A) 3/5	**IMPACT**	(B) 2/5	What is the total risk score? (A x B)	**6/25**

Risk Status	Meeting 1 MIN	Meeting 2	Meeting 3	Meeting 4

MEETING	AMENDMENTS TO RECORD AND PLANS TO TREAT
Q1	Owner – reviewed and updated mitigations
Q2	
Q3	
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 Risk Registers:	Financial	Owner: Principal
Description of the Risk:	Failure to achieve institutional sustainability due to sector-level budget allocations in 2024-25	
What are the possible consequences if the risk was to emerge?	The college will be unable to operate within the Scottish Public Finance Manual, contravening governance requirements by SG, Section 22, Reputational damage to Board and F&GP	

GROSS RISK SCORE (i.e without controls in place)					
LIKELIHOOD	(A) 5/5	**IMPACT**	(B) 5/5	What is the total risk score? (A x B)	**25/25**
The **GROSS** risk is therefore: MIN/MOD/MAJ/CRIT	**Critical Risk**				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING

Front Line (Management Assurance) **Operational Delivery /Systems /Quality Assurance /Supervision**	- Increase Commercial Income/ reduce reliance on SFC funding - Effective cost control - Active tracking of Credits against forecast - Protection of funding through dialogue with SFC - Scheme of Delegation	- Commercial Reporting to FGP/review by SLT - Reportage to SLT / FGP/ BoM - Finance business partnering to review budgets/spend with Managers, and timely preparation of Management Accounts and forecasts - Continuous monitoring of demand v funding allocation of student funds - Sport checks by team
Organisation Oversight Of Management Activity **Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance**	- Strategic and Operating Plans approval process - Budgets approval process - Major project business cases approval processes - Finance Directors Network	- Regular internal reporting to SLT, BoM and FGP 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**	- Internal Audit Programme - External Audit - Regional Outcome Agreement	- External firm of professionals appointed/External by Audit Scotland / approval by Audit Committee/BoM - Regular returns to Scottish Funding Council (FFR/FES)

NET RISK SCORE (i.e with controls in place)					
LIKELIHOOD	(A) 4/5	**IMPACT**	(B) 5/5	What is the total risk score? (A x B)	**20/25**

Risk Status	**Meeting 1** MAJ	**Meeting 2**	**Meeting 3**	**Meeting 4**

MEETING	AMENDMENTS TO RECORD AND PLANS TO TREAT
Q1	Owner – reviewed and updated mitigations
Q2	
Q3	
Q4	

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

Strategic Objective:	Risk No: 4 Financial Fraud	

Reference to Risk Registers:	Financial	Owner: Executive Director of Finance
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	

GROSS RISK SCORE (i.e without controls in place)					
LIKELIHOOD	(A) 4/5	IMPACT	(B) 3/5	What is the total risk score? (A x B)	**12/25**
The **GROSS** risk is therefore: MIN/MOD/MAJ/CRIT	**Medium Risk**				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
Front Line (Management Assurance) Operational Delivery /Systems /Quality Assurance /Supervision	• No PO / no Pay policy • Scheme of Delegation • Segregation of duties and review of transactions • Staff training and sharing of good practice for risks	• Continuous review of financial controls and spot checks by team • Implementation of Internal Audit recommendations • Training records/ tracking of audit recommendations
Organisation Oversight of Management Activity Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance	• Review of impact of any changes in structure or duties • Public Interest Disclosure (Whistleblowing) Policy • Review of lessons learned report from COGC	• SLT reportage • Monitoring across SLT Directorates • Tracking of audit recommendations
Independent Assurance Internal Audit / external bodies	• Internal Audit plan	• Internal Audit • External firm of professionals appointed / approval and review of reports by Audit Committee /BoM oversight

NET RISK SCORE (i.e with controls in place)					
LIKELIHOOD	(A) 3/5	IMPACT	(B) 2/5	What is the total risk score? (A x B)	**6/25**

Risk Status	Meeting 1 MIN	Meeting 2	Meeting 3	Meeting 4

MEETING	AMENDMENTS TO RECORD AND PLANS TO TREAT
Q1	Owner – reviewed and updated mitigations
Q2	
Q3	
Q4	

No.	Risk and Risk Appetite	Avoid	Averse	Cautious	Moderate	Open	Hungry

4	Financial Fraud							

Strategic Objective: Risk No: 5   Business Continuity

Reference to Risk Registers:	Organisational	Owner: VP People and Transformation
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	

GROSS RISK SCORE (i.e without controls in place)

LIKELIHOOD	(A) 4/5	IMPACT	(B) 4/5	What is the total risk score? (A x B)	16/25
The GROSS risk is therefore: MIN/MOD/MAJ/CRIT	Major Risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
Front Line (Management Assurance) **Operational Delivery /Systems /Quality Assurance /Supervision**	• Business Continuity Plan • Staff CPD on business continuity themes • Monitoring Public Health Advice • Planning, careful phasing of processes, systems and equipment • Asset register • Effective management of GDPR	• Adherence to local and national Public Health Guidance • Reporting to SLT on effectiveness of testing arrangements. • Business continuity Plan walkthrough and desk top scenario planning • Active data protection monitoring, training and auditing • User acceptance testing of new systems
Organisation Oversight of Management Activity **Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance**	• Rolling programme of routine updates to systems and equipment	• Liaison with SFC and Colleges Scotland • Climate Emergency College Group (includes Student Representatives)
Independent Assurance **Internal Audit / external bodies**	• Communication to stakeholders	• Internal Audit on process and statutory compliance • BoM oversight

NET RISK SCORE (i.e with controls in place)

LIKELIHOOD	(A) 4/5	IMPACT?	(B) 3/5	What is the total risk score? (A x B)	12/25

Risk Status	Meeting 1 MOD	Meeting 2	Meeting 3	Meeting 4

MEETING   AMENDMENTS TO RECORD AND PLANS TO TREAT

Q1	Owner – reviewed and updated mitigations
Q2	
Q3	
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 Failure to meet Regulatory Obligations

Reference to Departmental Risk Registers:	Organisational	Owner: Executive Director of Finance and Planning
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	

GROSS RISK SCORE (i.e without controls in place)					
LIKELIHOOD	(A) 3/5	IMPACT	(B) 5/5	What is the total risk score? (A x B)	**15/25**
The **GROSS** risk is therefore: MIN/MOD/MAJ/CRIT	**Medium Risk**				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
Front Line **(Management Assurance)** **Operational Delivery /Systems /Quality Assurance /Supervision**	• Prevent, Health and Safety and Safeguarding training • Staff awareness and contingency planning • Engagement/practice sharing with local agencies	• Business Continuity Plan including scenario testing • Training records/ Reportage to SLT
Organisation Oversight of Management Activity **Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance**	• Engagement/practice sharing with local agencies • Board approval of SFC submissions	• Information sharing with local agencies • Reportage to SLT/ Committees and BOM
Independent Assurance **Internal Audit / external bodies**	• Internal Audit Plan and review • External Audit Planning and review	• External firm of professionals appointed/ approval and review of reports by Audit Committee

NET RISK SCORE (i.e with controls in place)					
LIKELIHOOD	(A) 5/5	**IMPACT**	(B) 1/5	What is the total risk score? (A x B)	**5/25**

Risk Status	**Meeting 1** **MIN**	Meeting 2	Meeting 3	Meeting 4

MEETING	AMENDMENTS TO RECORD AND PLANS TO TREAT
Q1	Owner – reviewed and updated mitigations
Q2	
Q3	
Q4	

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

Strategic Objective:	Risk No: 7 Failure to Achieve Effective Industrial Relations

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

GROSS RISK SCORE (i.e without controls in place)					
LIKELIHOOD	(A) 3/5	**IMPACT**	(B) 4/5	What is the total risk score? (A x B)	**12/25**
The **GROSS** risk is therefore: MIN/MOD/MAJ/CRIT	**Moderate Risk**				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
Front Line **(Management Assurance)** **Operational Delivery /Systems /Quality Assurance /Supervision**	• Constructive formal and informal communication channels • Regular meetings • Staff awareness and contingency planning	• LJNC (Local Joint Negotiating Committee) • College Employers Scotland advice and updates • Regular union/management dialogue

Organisation Oversight of Management Activity **Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance**	• LJNC (Local Joint Negotiation Committee) • Representation at Employers Association • NRPA (National Recognition and Procedures Agreement) • Representation at Strategic HR Network	• ELT/SLT/Board • Staff engagement survey • Regular union/management dialogue
Independent Assurance **Internal Audit / external bodies**	• College Employers Scotland	• SFC/Scottish Government • HR Sub/BoM oversight

NET RISK SCORE (i.e with controls in place)				
LIKELIHOOD	(A) 2/5	**IMPACT**	(B) 3/5	What is the total risk score? (A x B)	**6/25**

Risk Status	**Meeting 1 MIN**	Meeting 2	Meeting 3	Meeting 4

MEETING	AMENDMENTS TO RECORD AND PLANS TO TREAT
Q1	Owner – reviewed and updated mitigations. Committee – after discussion it was agreed that industrial disputes/ASOS have curently ceased and a reduced likelihood of upcoming disputes, therefore, the inherent rate has been reduced to 12 and the residual rate reduced to 6.
Q2	
Q3	
Q4	

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

Strategic Objective:	Risk No: 8 Failure to achieve highest academic performance

Reference to Departmental Risk Registers:	Organisational	Owner: DP 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. Recent data identifies progress	

GROSS RISK SCORE (i.e without controls in place)					
LIKELIHOOD	(A) 3/5	IMPACT	(B) 4/5	What is the total risk score? (A x B)	**12/25**
The **GROSS** risk is therefore: MIN/MOD/MAJ/CRIT	**Medium Risk**				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
Front Line **(Management Assurance)** **Operational Delivery /Systems /Quality Assurance /Supervision**	• Online reportage of PI and Discussion with Teaching Team • Self-Evaluation Reportage – Curriculum • Student early experience survey and Student Satisfaction and Engagement Survey (SSES) • Self-Evaluation Reportage – Support • Complaint Procedure	• Managers and Directors monitor course PIs • Self-evaluation reporting monitored by Performance
Organisation Oversight of Management Activity **Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance**	• Portfolio Review 1 - PI and Curriculum Plan • Portfolio Review 2 - PI Review • Support Review • Performance Review of Self Evaluation Block 1 • Performance Review of Self Evaluation Block 2 • Complaint Report	• 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**	• Annual Engagement Visit by Inspection Body • Self-evaluation reportage to SFC • Risk based Cycle of External Verification Visits	• Reportage by Education Scotland presented to the BoM • Reportage to SFC Outcome Team • Awarding Body

NET RISK SCORE (i.e with controls in place)					
LIKELIHOOD	(A) 2/5	IMPACT	(B) 4/5	What is the total risk score? (A x B)	**8/25**

Risk Status	Meeting 1 MIN	Meeting 2	Meeting 3	Meeting 4

MEETING	AMENDMENTS TO RECORD AND PLANS TO TREAT
Q1	Owner – reviewed and updated mitigations
Q2	

Q3	
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: Failure to adhere to academic compliance

Reference to Risk Registers:	Organisational	Owner: DP 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.

GROSS RISK SCORE (i.e without controls in place)					
LIKELIHOOD	(A) 4/5	IMPACT	(B) 3/5	What is the total risk score? (A x B)	12/25
The **GROSS** risk is therefore: MIN/MOD/MAJ/CRIT		**Medium risk**			

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
Front Line (Management Assurance) **Operational Delivery /Systems /Quality Assurance /Supervision**	• Assessor marks in line with national standards utilising awarding body resources. • Curriculum team meetings • Self-Evaluation Reportage – Curriculum • Self Evaluation Reportage – Support • Complaint Procedure	• Internal verifier appointed for each unit and a cycle of verification is followed. • Curriculum Managers • Self-evaluation plan and reporting monitored by Performance
Organisation Oversight of Management Activity **Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance**	• Compliance report by academic block • Performance Review of Self Evaluation Block 1 • Performance Review of Self Evaluation Block 2 • Performance Review of Self Evaluation Block 3 • Complaint Report	• College Wide Review by Performance Manager at SLT • Reportage to SLT and L&T Committee on College wide self-evaluation and Complaints

Independent Assurance Internal Audit / external bodies	• Cycle of External Verification Visits • Annual Engagement Visit by Inspection Body • Self-Evaluation Reportage to SFC	• External verifier • Performance directorate monitor external verification and report to SLT and the L&T Committee. • Reportage by Education Scotland/QAA presented to the BoM • SFC Outcome Team monitor returns and provide feedback as required

NET RISK SCORE (i.e with controls in place)					
LIKELIHOOD	(A) 2/5	**IMPACT**	(B) 2/5	What is the total risk score? (A x B)	**4/25**

Risk Status	Meeting 1 MIN	Meeting 2	Meeting 3	Meeting 4

MEETING	AMENDMENTS TO RECORD AND PLANS TO TREAT
Q1	Owner – reviewed and updated mitigations
Q2	
Q3	
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 Failure to achieve an effective student experience

Reference to Risk Registers:	Organisational	Owner: DP Learning, Skills and Student Experience *(Inc Infrastructure/Marketing/ICT)*
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.	

GROSS RISK SCORE (i.e without controls in place)					
LIKELIHOOD	(A) 3/5	**IMPACT**	(B) 4/5	What is the total risk score? (A x B)	**12/25**
The **GROSS** risk is therefore: MIN/MOD/MAJ/CRIT	**Medium Risk**				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
Front Line (Management Assurance) **Operational Delivery /Systems /Quality Assurance /Supervision**	• Curriculum team meetings • Self-Evaluation Reportage – Curriculum • Student early experience survey and Student Satisfaction and Engagement Survey (SSES) • Student representative meetings • Self-Evaluation Reportage – Support • Complaint Procedure	• Curriculum Managers (CMs) • Self-evaluation reporting monitored by Performance and Directors • Performance return survey and SSES results to CMs • Performance overview • Self-evaluation reporting monitored by Performance and Directors
Organisation Oversight of Management Activity **Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance**	• Performance Review of Self Evaluation Block 1 • Performance Review of Self Evaluation Block 2 • Performance Review of Self Evaluation Block 3 • Portfolio Review 1 - PI and Curriculum Plan • Portfolio Review 2 - PI Review • Support Review • Complaint Report	• Reportage to SLT and L&T Committee on College wide self -evaluation, enhancement plan and portfolio reviews
Independent Assurance **Internal Audit / external bodies**	• Annual Engagement Visit by Inspection Body • Self-evaluation reportage to SFC	• Reportage by Education Scotland/QAA presented to the BoM • SFC Outcome Team monitor returns and provide feedback as required

NET RISK SCORE (i.e with controls in place)					
LIKELIHOOD	(A) 2/5	**IMPACT**	(B) 4/5	What is the total risk score? (A x B)	**8/25**

Risk Status	Meeting 1 MIN	Meeting 2	Meeting 3	Meeting 4

MEETING	AMENDMENTS TO RECORD AND PLANS TO TREAT
Q1	Owner – reviewed and updated mitigations

Q2	
Q3	
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 Failure to maintain systems and operable and secure ICT

Reference to 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	

GROSS RISK SCORE (i.e without controls in place)					
LIKELIHOOD	(A) 4/5	IMPACT	(B) 5/5	What is the total risk score? (A x B)	**20/25**
The **GROSS** risk is therefore: (MIN/MOD/MAJ/CRIT)	**Major**				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
Front Line **(Management Assurance)** **Operational Delivery /Systems /Quality Assurance /Supervision**	• 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 • ICT Systems linked to the Business Continuity and Management Plan • 'Ethical hacker' training completed by staff • Cyber essentials certified	• Cyber exercises • Phishing exercises • Regular planned security monitoring. • Network Monitoring

| Organisation Oversight of Management Activity

Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance	• Planned cyber exercises • Planned phishing exercises. • Cyber exercises – exercise in a box NCSC • Infrastructure updates from external review of ICT estate	• Feedback via SLT/ELT on monitoring statistics; • Regular Board reporting around cyber position;
Independent Assurance

Internal Audit / external bodies | • CISO (Chief Information Security Officer) service in place through HEFESTIS. | • Regular reporting and risk assessment.
• Audit Committee/BoM oversight |

NET RISK SCORE (i.e with controls in place)					
LIKELIHOOD	(A)

3/5 | **IMPACT** | (B)

4/5 | What is the total risk score? (A x B) | **12/25** |

Risk Status	**Meeting 1 MOD**	Meeting 2	Meeting 3	Meeting 4
MEETING	**AMENDMENTS TO RECORD AND PLANS TO TREAT**			
Q1	Owner – reviewed and updated mitigations			
Q2				
Q3				
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 Risk Registers:	Organisational	Owner: VP People and Transformation
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)	

GROSS RISK SCORE (i.e without controls in place)					
LIKELIHOOD	(A) 4/5	IMPACT	(B) 5/5	What is the total risk score? (A x B)	**20/25**
The **GROSS** risk is therefore: (MIN/MOD/MAJ/CRIT)	**Major Risk**				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
Front Line **(Management Assurance)** **Operational Delivery /Systems /Quality Assurance /Supervision**	• Reporting and review procedures, including near miss • Health and Safety and IOSH training for staff • Regular communication on responsibilities	• Regular, formal Health & Safety Committee • BoM H&S Champion attends H&S committee meetings
Organisation Oversight of Management Activity **Internal Compliance and quality checks / Legal and Regulatory / Financial controls / Management controls / Project assurance**	• Reporting of H&S is standard agenda item at SLT meetings	• Reporting to FGP Committee / BoM
Independent Assurance **Internal Audit / external bodies**	• External independent oversight from H&S specialist	• Internal Audit • Public Health • Environmental Health

NET RISK SCORE (i.e with controls in place)					
LIKELIHOOD	(A) 3/5	IMPACT	(B) 4/5	What is the total risk score? (A x B)	**12/25**

Risk Status	Meeting 1 MOD	Meeting 2	Meeting 3	Meeting 4

MEETING	AMENDMENTS TO RECORD AND PLANS TO TREAT
Q1	Owner – reviewed and updated mitigations
Q2	
Q3	
Q4	

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

Dumfries and Galloway College

Board of Management

Agenda Item	9
Paper Number	BOM1024-9.1

Date of Meeting	01 October 2024
Location	Dumfries Campus
Title of Paper	Onboarding, Retention and Attainment Policy
Presented by	Douglas Dickson
Recommendation	**Approval**
Freedom of Information Disclosure Assessment	
FOI flag:	☐ Disclosable Non-disclosable
Reason/s for choice:	S
Notes from author: (When will it become disclosable? Has FOI Officer guidance been sought?)	
Further comments/updates after initial submission	
Date added	Added by (name and role)	Comment/detail

Read Time: 21 minutes

1.   Recommendation

1.1.   The Board of Management are asked to approve the new Onboarding, Retention and Attainment Policy.

2.   Executive Summary

2.1   The requirement for a new policy:

- ➢   There were several existing policies which needed to be reviewed.

- ➢   The purpose has been to amalgamate some of these existing policies and procedures (Retention and Student Attainment Policy, Admissions Policy, Admissions Procedure, and Induction Procedure)

- ➢   A policy and associated procedures which better reflect working practice and strategic direction of the college.

3.   Context

3.1.   Full Policy and procedures attached.

4.   Strategic Implications

4.1   Onboarding, retention and attainment is critical for college targets and associated funding.

5.   **Risk**

Risk	Mitigations
Risk 8. Failure to achieve highest academic performance levels.	➢ Online reportage of PI and Discussion with Teaching Team ➢ Self-Evaluation Reportage – Curriculum ➢ Student early experience survey and Student Satisfaction and Engagement Survey (SSES) ➢ Self-Evaluation Reportage – Support ➢ Complaint Procedure ➢ Performance Review of Self Evaluation Block 1 ➢ Performance Review of Self Evaluation Block 2 ➢ Performance Review of Self Evaluation Block 3
Risk 9. Failure to adhere to academic compliance arrangements.	➢ Assessor marks in line with national standards utilising awarding body resources. ➢ Curriculum team meetings ➢ Self-Evaluation Reportage – Curriculum ➢ Self-Evaluation Reportage – Support ➢ Complaint Procedure ➢ Compliance report by academic block ➢ Performance Review of Self Evaluation Block 1 ➢ Performance Review of Self Evaluation Block 2 ➢ Performance Review of Self Evaluation Block 3

Risk 10. Failure to achieve an effective student experience.	- Curriculum team meetings - Self-Evaluation Reportage – Curriculum - Student early experience survey and Student Satisfaction and Engagement Survey (SSES) - Student representative meetings - Self-Evaluation Reportage – Support - Complaint Procedure - Performance Review of Self Evaluation Block 1 - Performance Review of Self Evaluation Block 2 - Performance Review of Self Evaluation Block 3 - Portfolio Review 1 - PI and Curriculum Plan - Portfolio Review 2 - PI Review - Support Review - Complain Report

6.   Implications

Financial	**YES**	Output of ongoing self-evaluative activity can impact performance and helps meet reporting requirements around funding allocations. Development of a positive student experience and learning environment should support retention. Improved retention and attainment improves the college's reputation and aids future recruitment.
Legal	**NO**	Student regulation and behaviour management is critical in the quality of learning that can be achieved. Ongoing reflection, review and staff training is required. Appropriate practice to support regulation and behaviours support learning for all.
Learning and Teaching	**YES**	Our college is committed to fostering an inclusive and equitable student experience where every individual is valued and supported. We strive to create a learning environment that promotes equal opportunities, celebrates diversity, and ensures that all students have the resources and respect needed to achieve their full potential. We also aim to enhance our approaches to safeguard everyone in our college community.
Equalities	**NO**	

Douglas Dickson
Depute Principal
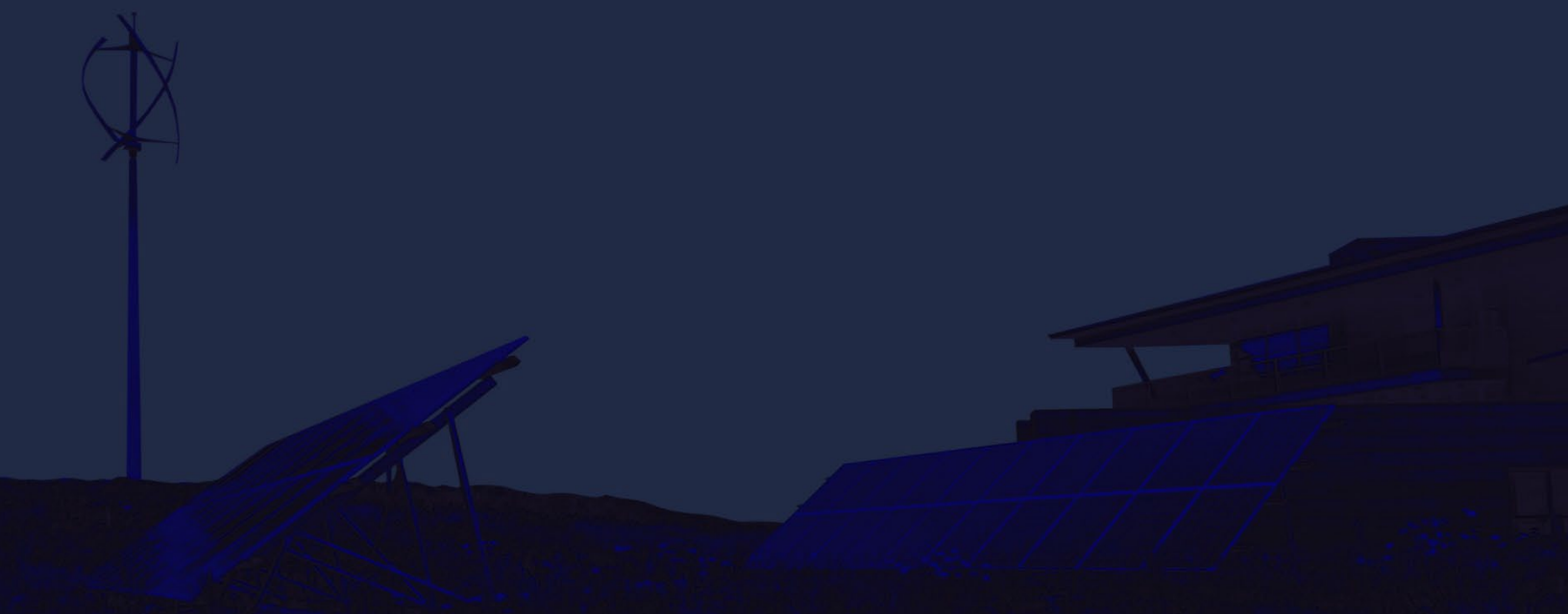09 August 2024

ONBOARDING, RETENTION AND ATTAINMENT POLICY

Responsibility: Executive Director of Student Experience

Issue Date: August 2024

Equality Impact Assessment: August 2024

Version: 2

Table of Contents

Onboarding and Retention Policy

Onboarding, Retention and Attainment Policy and Procedures

1. Purpose

1.1   The purpose of this policy is to outline Dumfries and Galloway Colleges (DGC) commitment and approach to achieving high levels of student retention and attainment according to evidence-based principles that are aligned with our strategy and reflected in institutional enhancement plans.

1.2   The DGC approach to student onboarding will recognise that onboarding to college is part of a staged process of transition from a wide range of starting points into further or higher education and extends before and beyond the first initial weeks of a course.

1.3   DGC is committed to a whole college approach to ensure that students settle into college life and their programme of study, to become effective learners focused on achievement but are also aware of their responsibilities for their learning.

1.4   Onboarding will include activities and engagements from the moment of application, through induction and onto programme.

1.5   DGC notes that retention of students begins at application stage and continues for the duration of the course of study. We will commit to ensure we have robust systems for engagement, support, monitoring, and evaluation for the duration of the student journey targeting high levels of student attainment.

2. Scope

2.1   This policy has been developed against three key principles:

- **Leadership –** Institutional leadership will use evidence-based decision making and ensures high-impact retention and attainment strategies receiving dedicated and stable resourcing.
- **Student Experience –** The student experience spans the whole student journey and is supported by effective onboarding plans, high quality

learning and teaching, high-impact student support services, and student help-seeking behaviours.

🔸 **Student Data –** Student data is ethically collected, integrated, promoted, understood, and used by all to enhance the student experience and retention.

2.2   The policy applies to all learners enrolled with DGC on the types of programmes listed below:

- 🔸 Full Time students
- 🔸 Part time students
- 🔸 New starts
- 🔸 Progressing students
- 🔸 Late start students
- 🔸 College Academy students

2.2   This policy applies to all college sites and covers onboarding, retention and attainment of all courses identified above, delivered by the college.

2.3   The policy applies to all college staff.

2.4   All activities developed under this policy should consider individual needs of students and be adapted appropriately as and when required.

2.5   The specific activities examples within the procedures should be reviewed and enhanced annually led by relevant department managers working closely with teams.

3.   References

- 🔸 Equality and Diversity Policy
- 🔸 Recognition of Prior Learning Policy
- 🔸 Recognition of Prior Learning Procedure
- 🔸 Safeguarding Children, Young People and Adults at Risk Policy
- 🔸 Safeguarding Children, Young People and Adults at Risk Procedure
- 🔸 Student Funding Application Procedure
- 🔸 Student Funding Appeals Procedure

- Student Funding Absence Policy
- Student Support and Guidance Procedure
- Students with Additional Needs Procedure
- Access and Inclusion Strategy
- Positive Student Behaviour Policy

4.   Definitions

Onboarding:
For the purposes of this Policy we are defining onboarding as the processes through which students (both new and returning) acquire the necessary knowledge, information and support to enable them to become fully participatory members of the college community.

Early Withdrawal:
Refers to FT students on courses lasting for over 20 weeks if they are still active after 5 weeks from the course start date. For shorter courses the required date continues to be after a quarter of the course has been delivered.

Student Experience:
For the purposes of this policy we are defining student experience as the totality of experiences that a student encounters throughout their learning journey, as they progress from being a prospective student through to the award of a qualification and as they intersect with college curriculum, peers, academic staff, professional staff, processes, systems, services and requirements (Coates *et al.* 2017).

Conditional Offer: An offer of a place on a course which is dependent on achieving course conditions – usually exam results or passing a current course.

Unconditional Offer: An offer of a place on a course – and the entry requirements are already met.

5. Responsibilities

5.1 Leadership

5.1.1 All college staff will demonstrate leadership through a collaborative and action-oriented commitment to ensuring that students have a high-quality student experience.

5.1.2 Retention and attainment strategies will be integrated into DGC enhancement plans with clear targets and areas of accountability for staff.

5.1.3 Retention and attainment strategies will be coordinated, monitored, evaluated, and continuously improved through the colleges self-evaluation system (DG-SEE).

5.1.4 College leaders will, supported by staff, consider, in their decision making, the barriers and enablers to a positive student experience, retention and attainment in accordance with relevant policy instruments and evidence.

5.1.5 Aggregate-level student enrolment, retention and attainment data will be monitored, analysed, disseminated, and acted upon regularly in line with self-evaluation cycles.

5.2 Student Experience

5.2.1 Student retention and attainment will be monitored and supported across the entire student journey from recruitment to graduation.

5.2.2 Students will have access to appropriate induction to the colleges systems and processes, course structure and requirements, and learning environments, regardless of their campus or mode of study.

5.2.3 Students will play a key role in co-creating a successful student experience and will be enabled to engage in the colleges academic and social culture and to develop a sense of purpose and belonging.

5.2.4 Student retention and attainment will be supported by high-quality learning, teaching and assessment experiences and environments in alignment with DGC's Learning Pillars.

5.2.5 Student progress and attainment will be proactively monitored collaboratively by academic and support staff and, where required, students will be referred to academic and other support services.

5.2.6 Student help-seeking behaviour will be normalised, and there will be opportunity for students to be informed of and access relevant information and support services to develop into resilient, independent learner.

5.2.7 Academic and career advice will be offered to assist students to be retained or, where appropriate, make informed decisions about future pathways and to avoid unnecessary debt and/or academic penalty.

5.2.8 To encourage students to have opportunities with the Students' Association for enhancing wider professional skills and preparing for employment, along with amplifying the student voice for change for improvements.

5.3   Student Data

5.3.1 DGC will ethically collect, link, and analyse student enrolment, performance, and systems activity data to improve understanding of student needs and their learning experiences.

5.3.2 Student data will be presented in accessible formats to meet the needs of a range of audiences, and professional learning opportunities will be provided to maximise data interpretation and use.

5.3.3 Academic and support staff have a responsibility to use relevant student data to enhance monitoring of students, and inform course and subject design, review, and quality assurance processes.

5.3.4 Users of student data must ensure their actions comply with DGC's ethical obligations and guidelines before seeking to collect data for retention, research, or other purposes.

6.   Procedure

6.1.1 Students with **unconditional offers** are invited to enrol onto their course from early July. Students with **conditional offers** will be invited to enrol when the offers convert to unconditional.

6.1.2 The onboarding process will consist of a range of optional and required activities including (please note these will be reviewed and may change annually):

- Keep warm campaigns and messaging

- On campus Welcome Days

- Digital Induction course

- Enrolment

- Induction

- Freshers

6.1.3   After enrolment all students will be sent instructions on how to access their individual college email address and digital environments. This will enable them to participate in the more detailed induction and other college related activities.

6.1.4   Induction activities will be planned in advance of classes starting, usually the week before.

6.1.5   The Student Journey team will inform all students of the Induction start date.

6.1.7   All students are expected to participate and complete their induction where applicable and this will be monitored. At the end of the first week of classes we will check in with students digitally to confirm completion of relevant induction activities.

6.2   The Induction process will include coverage of all key policies and procedures through:

6.2.1   The Student Handbook made available to all

6.2.2   Digital Induction Course

6.2.3   College Welcome

6.2.4   Academic Induction

6.2.5   Student Portal

6.3   Induction monitoring:

6.3.1   Students to complete all areas of the induction.

6.3.2   Completion of induction process will be digitally monitored at the end of the first week of teaching.

6.3.3   This information will be used by Performance for further analysis and audit after the October break.

6.4 Onboarding Portal

6.5.1   All staff will have access to the Onboarding Portal via AdminNet. This is used to track student attendance at induction, their enrolment status, attendance and course waiting lists.

6.5.2   Comments can be added by any staff to the student listing on the Onboarding Portal to show contact made due to missed induction or classes. It will also show who has been contacted and brought in from the waiting lists. This ensures all teaching staff know who should be in class and can ensure all are enrolled.

6.5 Student Retention and Attainment Procedure

6.5.1   All managers, Lecturers and relevant support staff will monitor, evaluate, and act on student retention and attainment data and information, supporting the implementation of agreed actions.

6.5.2   This will take place formally through self-evaluation activities and team meetings. Relevant staff should consider student retention issues as part of weekly working practices and will be monitored at all levels across the college.

6.5.3   In support of this policy the college's strategy will be to focus on continuous improvements of learning and teaching which will be developed in line with our DGC Pillars of Learning.

6.5.4   A range of sources of information will be used by teams to understand success in retention and attainment, and areas for enhancement including: relevant retention linked data; student feedback gathered through self-evaluation; personal tutor notes and actions; student support referrals (inc. counselling, welfare, adviser and safeguarding referrals); quality assurance activity; attendance tracking.

Agreed staff will pursue and follow up with students, where there are issues related to non-attendance/engagement. This should be decided collaboratively between relevant staff and based on relationships and knowledge of the student.

College leadership will ensure the continued development of effective and appropriate data tools and training to ensure evidence-based decision making is well supported.

6.5.3 **Retention Meetings –** Curriculum Managers will lead regular retention meetings where any issues across courses or individual students will be discussed. All staff should attend alongside the department named student adviser. Student data should be central to these meetings through analysis of the colleges Learner Retention report and any other pertinent data e.g. attendance reports. Risk scoring can be amended based on discussions and agreements at meetings who needs to take on what action. All actions should be noted and for individual students recorded on the … AdminNet.

6.5.4 **Early Experience Student Survey –** An early experience survey is issued to all students at week … of classes. This helps staff understand where early activities are supporting retention and where immediate actions for enhancement may be.

6.5.5 **Enhancement Meetings –** Curriculum Managers should establish a schedule of enhancement meetings with curriculum teams every 4 weeks (or as close to) to participate in DG-SEE activities. Self-evaluation challenge questions will be used to prompt discussion and analysis of student retention and performance data. Actions of impact and areas for enhancement should be recorded and monitored within department enhancement plans. Overall engagement and actions will be monitored by managers and at high level by the Performance Manager and Executive Director of Student Experience.

6.5.5 **Curriculum Leadership Group –** The curriculum leadership group will meet bi-weekly and will be chaired by the Executive Director of Student Experience. This group will be a forum for relevant college managers to monitor, evaluate and report on retention activities, impact, and enhancements. This will also be a forum for professional learning which will seek to enhance the student experience.

6.5.6 **Portfolio Reviews –** Portfolio reviews will be conducted twice in each academic year. These will be chaired by the Depute Principal and Executive Director of Student Experience. The focus of reviews will be on curriculum planning and enhancement. Student retention will be a key topic of discussion and relevant actions collated and monitored through managers' enhancement plans. Where ongoing improvement activities are not having desired impacts, discussions may

focus on pausing, removing, or taking a further 'deep dive' to enhance student retention.

6.5.7 **Performance Improvement Programme –** Where a course or department have identified student retention issues which are not being addressed via the processes outlined above, then those courses will be entered into the Performance Improvement Programme (PIP). This process will be a deep dive into retention and attainment issues led by the Executive Director of Student Experience, Performance Manager and members of the relevant team.

6.5.7 **Student Withdrawals –**

- Where students are identified at risk of withdrawal appropriate supportive actions should be taken initially and recorded on AdminNet. Clear records of all restorative actions and referrals must be recorded.

- Where more formal action is required for example persistent concerning behaviour or gross misconduct then stage 2 of the Student Disciplinary Procedure should be instigated.

- Curriculum Managers should ensure all possible support and actions have been taken before processing a student withdrawal.

- No student with experience of care should be withdrawn without a thorough conversation with the college's named student adviser and/or the Executive Director of Student Experience. (See Appendix 2)

6.5.4 The Learner Retention Information is used throughout the entire academic year.

7. Distribution

All Staff
Repository

8.   Revision Log

Revision Log		
Date	Section	Description
22.03.24	6.2.10	Removed – student handbook replaced by online portal
22.03.24	6.2.3	Added Fitness Suite
22.03.24	5.2.10	Added to include Student Portal
22.03.24	5.2.9	Adjusted wording to remove induction activities related to other facilities
22.3.24	5.2.7	Removed, no longer applicable
14.03.24	6.4.1	Is there still an induction checklist now it's no longer digital?
14.03.24	6.2.3	Removed mention of virtual induction
14.03.24	6.1.6	Removed – induction is face to face
14.03.24	6.1.2	Keep Warm activities are provided by Student Journey Team
14.03.24	6.1.1	Removed reference to accepting places, and added unconditional places
18.05.22	Distribution	Changed Quality Manual to Repository
18.05.22	Responsibility	Changed from Head of Academic Planning and Quality to Student Journey Manager
18.05.22	Distribution	Quality Manual changed to Repository
23.08.23	Appendices	EIA added as Appendix 1 as per revised Document Control Procedure.

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
Induction Procedure	Head of Academic Planning and Quality	1	23.07.20	
Induction Procedure	Student Journey Manager	2		

Appendix 1: Equality Impact Assessment

Document:	Onboarding, Retention and Attainment Policy
Executive Summary:	This EIA assesses the potential impacts of the Onboarding, Retention, and Attainment Policy on individuals with protected characteristics, as defined by the Equality Act 2010, and other vulnerable groups. The aim is to ensure that the policy promotes equality, eliminates discrimination, and fosters good relations among all groups. The Onboarding, Retention and Attainment Policy is designed to support students from the application stage through to the completion of their course, ensuring that they have a high-quality educational experience. The policy covers all aspects of student engagement, including onboarding, induction, support services, and continuous monitoring of student progress.

Duties:

1: Eliminate discrimination, harassment and victimisation

2: Promote equality of opportunity

3: Promote good relations

*   Human Rights to privacy and family life, freedom of thought and conscience, education, employment

PSED Impacts

	Commentary
Age	Positive - The policy's emphasis on tailored support and clear standards of behavior will benefit students of all ages. The commitment to explore different approaches to help students achieve their goals is particularly beneficial for younger students and mature learners. Mitigation - None required.
Disability	Positive - The policy's commitment to providing visible and tailored support ensures that students with disabilities receive the necessary assistance to succeed. The use of digital tools for onboarding and induction can enhance accessibility. Mitigation - Ensure all digital platforms used for onboarding are accessible to students with various disabilities.

Appendix 1: Equality Impact Assessment

Gender	Neutral/Positive - The policy does not directly reference gender-specific measures but the inclusive approach and support systems should benefit all genders equally. Mitigation - Consider incorporating specific references to gender equality to ensure balanced representation and support.
Gender Based Violence	Mitigation - Provide training for staff to handle gender identity issues sensitively during onboarding and retention processes.
Gender identity/ reassignment	Neutral/Positive - The policy's inclusive language and commitment to support all students should positively impact those undergoing gender reassignment.
Marriage/civil partnership	
Pregnancy/maternity	
Religion or Belief	Neutral/Positive - The policy's commitment to inclusivity should ensure that students of all religions and beliefs are respected and supported. Mitigation - Ensure that induction and onboarding schedules are considerate of religious observances.
Race	Positive - The policy's focus on tailored support should ensure that students from diverse racial backgrounds are supported effectively. Mitigation - Ensure cultural competence training for staff involved in onboarding and retention to enhance support for students from different racial backgrounds.
Sexual Orientation	Neutral/Positive - The inclusive approach of the policy supports students regardless of their sexual orientation. Mitigation - Continue to promote a safe and supportive environment for all students, regardless of sexual orientatio

Appendix 1: Equality Impact Assessment

Additional Considerations

Care experienced	Positive - The policy explicitly recognizes the need for additional support for care-experienced students, which is a significant positive impact. Mitigation - Maintain and enhance support measures tailored to the needs of care-experienced students.
Carers	Positive - The policy's emphasis on tailored support is beneficial to students who have caring responsibilities. Mitigation - Ensure flexible options are available for carers, particularly regarding attendance and deadlines.
Mental Health	Positive - The policy's focus on student well-being and the availability of mental health support services are positive steps towards supporting students with mental health conditions. Mitigation - Regularly review mental health support services to ensure they meet the needs of students.
Socio-economic status	Positive - The policy aims to support students from all socio-economic backgrounds, particularly through measures related to financial support and reducing barriers to education. Mitigation – Continue to monitor and address financial barriers that may affect student retention and attainment.
Veterans	Positive – Veterans may benefit from the tailored support and recognition of individual circumstances highlighted in the policy. Mitigation - Ensure that veterans are aware of and can access specific support services available to them.
Human Rights*	The human rights to Education and Employment are progressed by this procedure.

Lead Officer:	Executive Director of Student Experience
Facilitator:	Student Journey Manager
Date initiated:	
Consultation: Research:	The development of this policy involved consultation with various stakeholders, including senior staff, academic staff, and support services. Feedback was gathered to ensure that the policy is inclusive and addresses the needs of all students.
Signature		Date	12.08.24

Appendix 2: Staff guidance notes for Onboarding, Retention and Attainment.

The list below is not exhaustive but provides guidance to support the Onboarding, Retention and Attainment Policy:

- The Senior Leadership Team will set realistic targets with relevant managers for student recruitment, retention and attainment based on historic evidence and staff self-evaluation work.

- Relevant Senior Leadership Team members, Curriculum Managers and Curriculum Teams will monitor and effectively action issues related to achieving the set targets. These should be tracked and monitored through enhancement plans.

- All students will have clear understanding of course attendance requirements.

- All courses will have clear entry requirements which will be annually reviewed and revised where appropriate and considered in individual circumstances.

- In taking actions relating to student withdrawals staff should approach this with a trauma informed approach.

- Students, via a range of well-planned onboarding activities will receive clear and concise information on their chosen courses.

- All students should be informed of pathways available to them at relevant points in their journey.

- Academic and support staff should collaboratively identify students at risk of not completing their course and identify, record, and monitor interventions and actions to support those students.

- All students should receive effective advice and guidance on issues of academic performance, study support, health and wellbeing, finance and others.

- Agreed staff will pursue and follow up with students, where there are issues related to non-attendance/engagement.

- Self-evaluative activities will include analysis of data (qualitative and quantitative) to understand retention trends, issues, and success.

Appendix 2: Staff guidance notes for Onboarding, Retention and Attainment.

7 Self-evaluation will consider a range of interventions and strategic objectives which may impact retention including:

- ➢ Curriculum Design

- ➢ High impact learning and teaching strategies

- ➢ Assessment Strategies

- ➢ Spaces and resource for learning

- ➢ Student support, guidance and services

- ➢ Resource issues which have a direct impact on recruitment, retention or attainment.

7 Student feedback will play an important part in effective analysis of onboarding and retention approaches.

Appendix 3: Student Retention and Withdrawal Procedure

Principles:

- Early, effective interventions should help students stay on track to succeed on their chosen course. Non- attendance should be dealt with promptly to avoid students missing too much learning, and to address any underlying issues. All staff should lead with a trauma informed approach to support.

- The referral system should be used to facilitate the most appropriate routes and allow all actions and comments to be visible to all parties in the same place. This is useful for discussion at team meetings, and for Student Advisers and Funding to see history.

- If it is decided that the course is not suitable for the student, the Transfer Procedure should be followed to provide an alternative pathway rather than withdrawal if possible.

- This procedure covers withdrawal through lack of attendance, and where a student wishes to withdraw from their course. It does not cover expulsion due to behavioural issues. That is covered by the Disciplinary Procedure.

Appendix 3: Student Retention and Withdrawal Procedure

Procedure Flowchart – attendance:

```
┌─────────────────────┐
│ Student is absent   │
│ for 2-3 days OR     │
│ pattern of absence  │
└─────────────────────┘
          │
          ▼
┌─────────────────────┐       use when student has not contacted
│ Lecturer submits    │- - -  college. when student has contacted
│ absence referral    │       college, use register note
└─────────────────────┘
          │
          ▼
┌─────────────────────┐
│ Personal Tutor      │───────────────────────┐
│ contacts student    │                        │
│ for informal chat   │                        ▼
└─────────────────────┘              ┌──────────────────────┐              ┌──────────────────┐
          │                          │ Reason for absence   │──────────────▶│ Submit welfare   │
          ▼                          │ e.g. financial,      │              │ referral         │
┌─────────────────────┐◀─────────────│ personal, health     │              └──────────────────┘
│ Referrals and       │◀─────────    └──────────────────────┘                        │
│ Retention report    │                                                               ▼
│ discussed in weekly │                                              ┌──────────────────────────┐
│ team meetings       │                                              │ Student Adviser contacts │
└─────────────────────┘                                              │ student – offer support  │
          │                                                          │ or signpost to external  │
          ▼                                                          │ agency                   │
┌─────────────────────┐                                              └──────────────────────────┘
│ If ongoing, Stage 1 │
│ – email by Central  │
│ Admin inviting      │
│ student to formal   │
│ meeting with PT     │
└─────────────────────┘
          │
          ▼
┌─────────────────────┐                  ┌──────────────────┐
│ If ongoing, Stage 2 │─────────────────▶│ cc Student       │
│ – email by Central  │                  │ Adviser          │
│ Admin inviting      │                  └──────────────────┘
│ student to formal   │                            ┌──────────────────────────┐
│ meeting with CM     │                            │ At any time student does │
└─────────────────────┘                            │ not respond to the       │
          │                                         │ process, CM can generate │
          ▼                                         │ 5 day withdrawal letter  │
┌─────────────────────┐                            └──────────────────────────┘
│ If ongoing, Stage 3 │                                        │
│ – email by Central  │                                        ▼
│ Admin inviting      │                            ┌──────────────────────────┐
│ student to formal   │                            │ Student does not respond │
│ meeting with CM of  │                            │ within 5 days, student   │
│ another area        │                            │ is withdrawn (see        │
└─────────────────────┘                            │ flowchart 2)             │
          │                                         └──────────────────────────┘
          ▼
┌─────────────────────┐
│ Unless progress can │
│ be expected,        │
│ student is          │
│ withdrawn (see      │
│ flowchart 2)        │
└─────────────────────┘
```
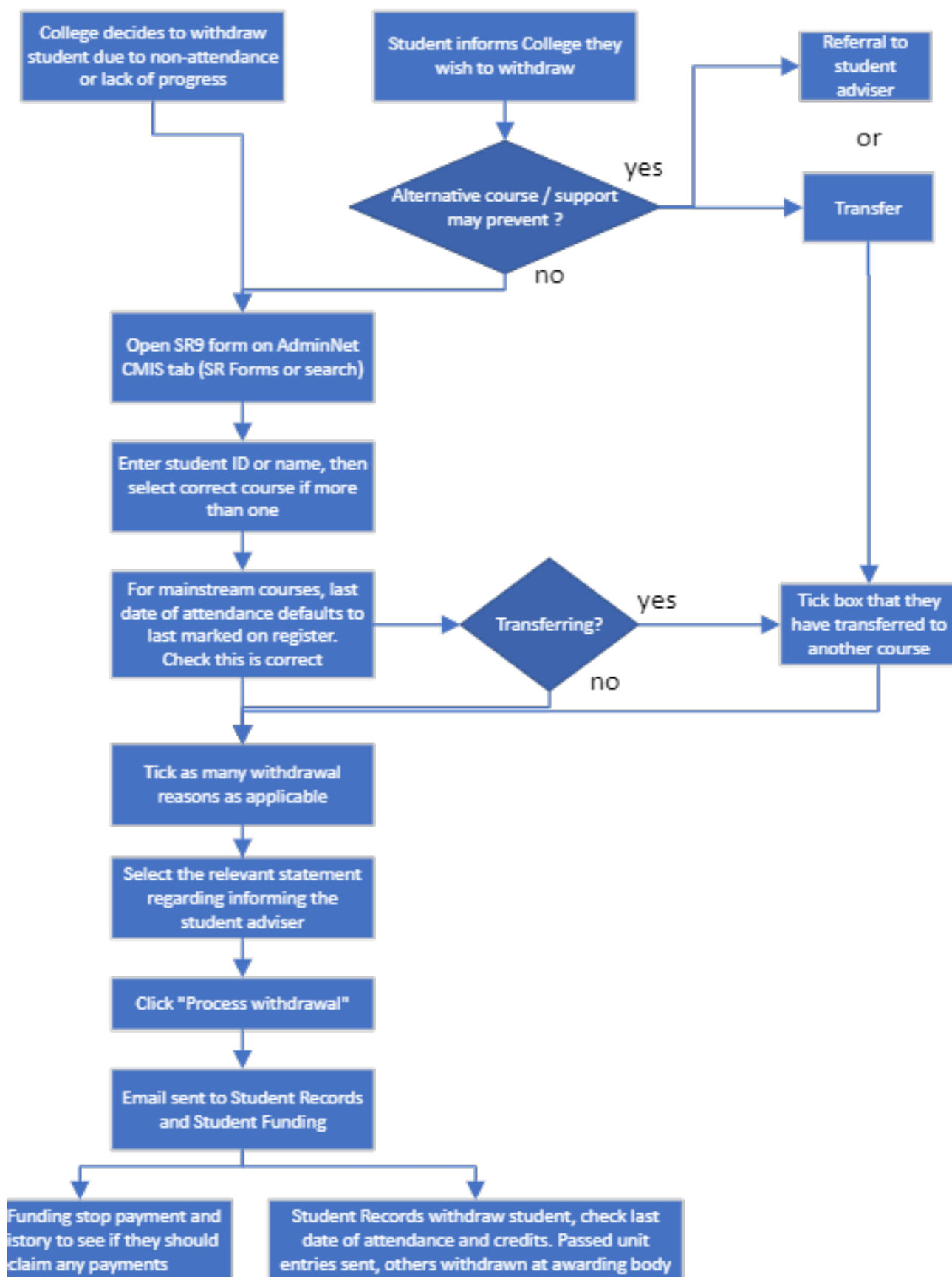
Appendix 3: Student Retention and Withdrawal Procedure

Procedure flowchart – Withdrawal

College decides to withdraw student due to non-attendance or lack of progress

Student informs College they wish to withdraw

Alternative course / support may prevent ?
- yes → **Referral to student adviser** *or* **Transfer**
- no

Open SR9 form on AdminNet CMIS tab (SR Forms or search)

Enter student ID or name, then select correct course if more than one

For mainstream courses, last date of attendance defaults to last marked on register. Check this is correct

Transferring?
- yes → **Tick box that they have transferred to another course**
- no

Tick as many withdrawal reasons as applicable

Select the relevant statement regarding informing the student adviser

Click "Process withdrawal"

Email sent to Student Records and Student Funding

Funding stop payment and history to see if they should claim any payments

Student Records withdraw student, check last date of attendance and credits. Passed unit entries sent, others withdrawn at awarding body

Appendix 4: Student Transfer Procedure

Principles:

- Sometimes a student will be enrolled on a course that does not meet their needs or abilities. For the best chance of success, the student should be transferred to a more appropriate course as soon as possible.

- SFC expect most students to remain on their intended programme of study for the duration of the course. Therefore, transfers should take place before the first FES (end of October).

- Student Records will be able to overwrite the original enrolment with the new course. After the first FES has been sent, there is some flexibility to transfer (and this is still preferable to withdrawal from the college altogether if possible), but SFC would expect it to be infrequent, and Student Records will keep the original enrolment, which will show as withdrawn.

Procedure Flowchart – Student Transfer
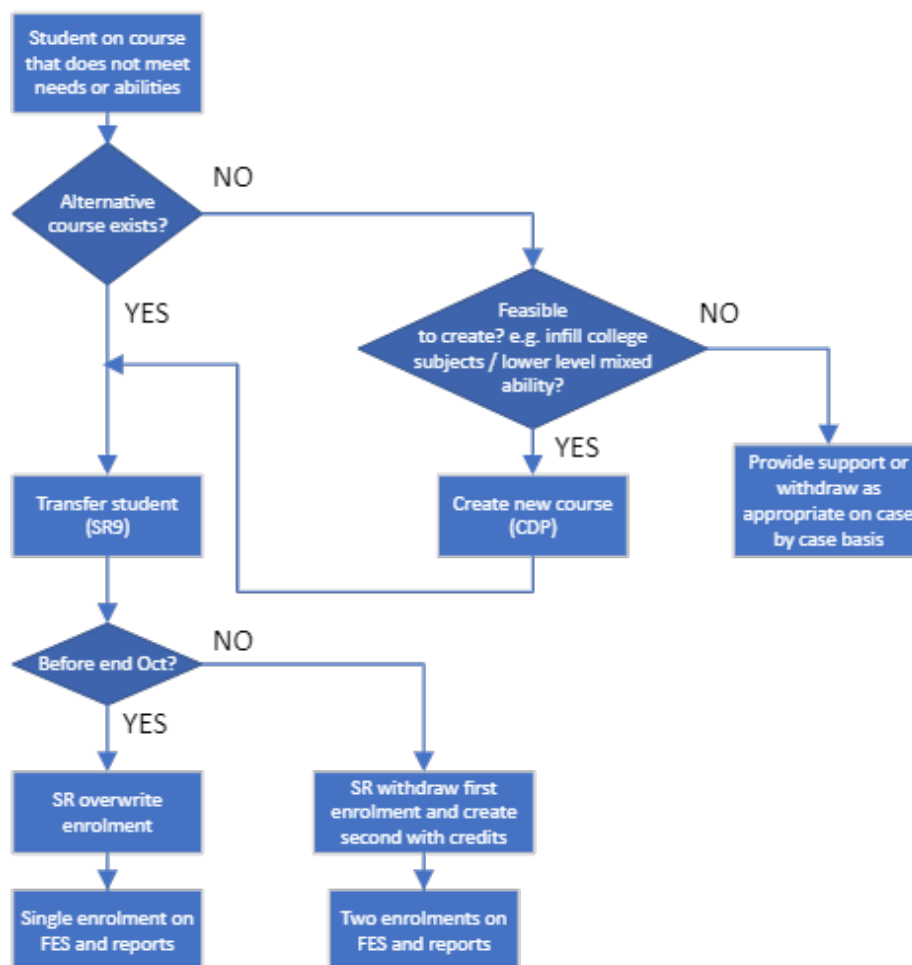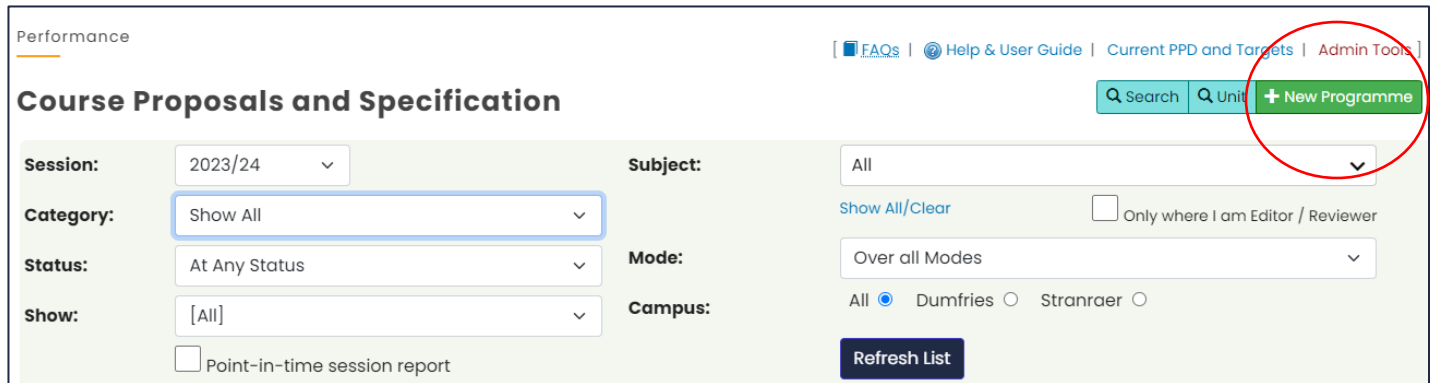
Appendix 4: Student Transfer Procedure

Target course creation – CDP

If the target course does not already exist, it will need to be created in the usual way, i.e. via a CDP.

Choose the option "CDP – New Programme"
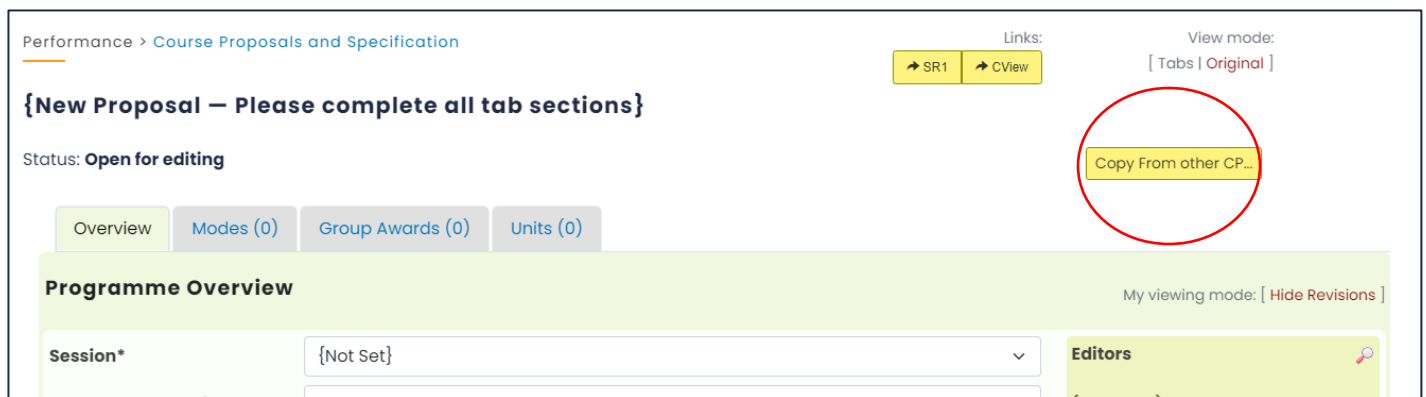
If there is a lot that you would want to copy from the original course, you can choose "Copy from another CPD…"

On the units tab, if you are adding a college subject to the CDP and don't know if it is set up already (or don't know the code), just put TBC in the code, and enter the title, credits and whether it is core or optional. If there is more than one college subject, you cannot add TBC a second time, but can use TBC1, TBC2 etc.

Appendix 4: Student Transfer Procedure

Transferring the student(s)

Choose CMIS --- SR Forms --- Processing Withdrawal SR9 (or enter SR9 into search box)

Enter the student code and select the appropriate enrolment. Click the box "transferred to another course in college" and then add the target course details in the further details box as shown below. Also put a reason for transferring out of the original course. Scroll down and press "Process Withdrawal".

Reason(s)*	☑
	Transferred to another course in the college — *Please specify the course in the text box below.*

☑ Academic issues	☐ Deceased
☐ Caring responsibilities	☐ Digital accessibility issues
☐ Dissatisfied with blended learning	☐ Disciplinary / Exclusion
☐ Dissatisfied with course	☐ Employer / Sponsor withdrew support / Change of Employer
☐ Estranged / homelessness	☐ Health issues
☐ Financial issues	☐ Non-attendance / college withdrew
☐ To take up employment	☐ Took up course offer at another institution
☐ Travel issues	☐ Unknown

Further Details	Please provide as much detail as possible, including course taken, employment details:
	New course [enter new course here]

Student Records will create the new enrolment record. If this is before the first FES, the original record will be overwritten. If it is after the first FES, the first record will be withdrawn (reason transfer), and a new enrolment created. There is no need for the student to re-enrol because the above audit trail exists. SR will usually move the credits onto the target course as this is more likely to have a positive PI.

Appendix 5 – Student Induction Checklist

Student Charter

☐ Acknowledgement of having read and understood the Student Charter.

Student Handbook

☐ Acknowledgement of having read through the Student Handbook.

Digital Induction Course

☐ Confirmation of completion of the Digital Induction Course.

Student Support Services

☐ Awareness of key student support services and their locations.

Student Portal

☐ Knowledge of how to access and use the student portal.

Academic Induction

The following topics should have been covered:

☐ **Meet the Team:** Introduction to curriculum staff.

☐ **Teaching Spaces:** Orientation to classrooms and other learning environments.

☐ **Timetable:** Understanding of course schedules and timetables.

☐ **Course Content and Structure:** Overview of the curriculum and program structure.

☐ **Assessment Approaches:** Explanation of various assessment methods.

☐ **Academic Integrity:** Discussion on academic honesty and related assessment policies.

☐ **The Role of the Personal Tutor and Tutorial Time:** Explanation of the personal tutor system and scheduled tutorial sessions.

☐ **Get to Know Your Peers:** Opportunities for social interaction and networking with fellow students.

Dumfries and Galloway College

Board of Management	
Agenda Item	**9**
Paper Number	BOM1024-9.2

Date of Meeting	01 October 2024
Location	Dumfries Campus
Title of Paper	Positive Student Behaviour Policy
Presented by	Douglas Dickson
Recommendation	**Approval**
Freedom of Information Disclosure Assessment	
FOI flag:	☐ Disclosable Non-disclosable
Reason/s for choice:	S
Notes from author: (When will it become disclosable? Has FOI Officer guidance been sought?)	
Further comments/updates after initial submission	

Date added	Added by (name and role)	Comment/detail

Read Time: 21 minutes

1. Recommendation

1.1. The Board of Management are asked to approve the new Positive Student Behaviour Policy.

2. Executive Summary

1.1 The requirement for a new policy:

> ➢ There were several existing policies and procedures which needed to be reviewed.

> ➢ The purpose has been to amalgamate some of the existing policies and procedures (Learner Behaviour Policy and Anti-bullying Procedure)

> ➢ A policy and associated procedures which reflect current working practice and strategic direction of the College.

3. Context

3.1. Full Policy and procedures attached.

4. Strategic Implications

4.1 Positive Student Behaviour is critical for college targets and associated funding.

5. Risk

Risk	Mitigations
Risk 8. Failure to achieve highest academic performance levels.	➢ Online reportage of PI and Discussion with Teaching Team ➢ Self-Evaluation Reportage – Curriculum ➢ Student early experience survey and Student Satisfaction and Engagement Survey (SSES) ➢ Self-Evaluation Reportage – Support ➢ Complaint Procedure ➢ Performance Review of Self Evaluation Block 1 ➢ Performance Review of Self Evaluation Block 2 ➢ Performance Review of Self Evaluation Block 3
Risk 9. Failure to adhere to academic compliance arrangements.	➢ Assessor marks in line with national standards utilising awarding body resources. ➢ Curriculum team meetings ➢ Self-Evaluation Reportage – Curriculum ➢ Self-Evaluation Reportage – Support ➢ Complaint Procedure ➢ Compliance report by academic block ➢ Performance Review of Self Evaluation Block 1 ➢ Performance Review of Self Evaluation Block 2 ➢ Performance Review of Self Evaluation Block 3

Risk 10. Failure to achieve an effective student experience.	➢ Curriculum team meetings
	➢ Self-Evaluation Reportage – Curriculum
	➢ Student early experience survey and Student Satisfaction and Engagement Survey (SSES)
	➢ Student representative meetings
	➢ Self-Evaluation Reportage – Support
	➢ Complaint Procedure
	➢ Performance Review of Self Evaluation Block 1
	➢ Performance Review of Self Evaluation Block 2
	➢ Performance Review of Self Evaluation Block 3
	➢ Portfolio Review 1 - PI and Curriculum Plan
	➢ Portfolio Review 2 - PI Review
	➢ Support Review
	➢ Complain Report

6.   Implications

Financial	YES	Output of ongoing self-evaluative activity can impact performance and helps meet reporting requirements around funding allocations. Development of a positive student experience and learning environment should support retention.
Legal	NO	
Learning and Teaching	YES	Student regulation and behaviour management is critical in the quality of learning that can be achieved. Ongoing reflection, review and staff training is required. Appropriate practice to support regulation and behaviours support learning for all.
Equalities	NO	Our college is committed to fostering an inclusive and equitable student experience where every individual is valued and supported. We strive to create a learning environment that promotes equal opportunities, celebrates diversity, and ensures that all students have the resources and respect needed to achieve their full potential. We also aim to enhance our approaches to safeguard everyone in our college community.

Douglas Dickson
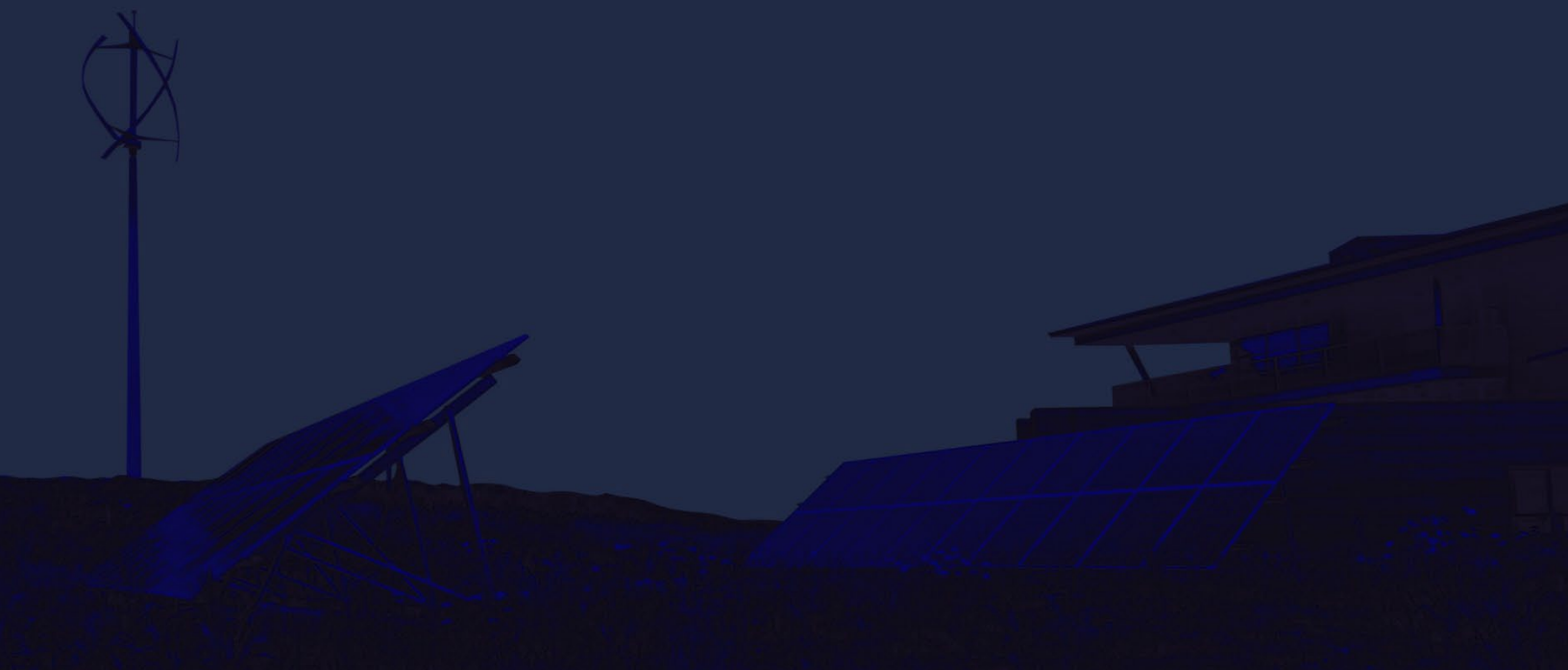Depute Principal
09 August 2024

POSITIVE STUDENT BEHAVIOUR POLICY

Responsibility: Executive Director of Student Experience
Issue Date: August 2024
Equality Impact Assessment: August 2024

Version: 1

Table of Contents

Student Behaviour Policy

Student Behaviour Policy

1. *Purpose*

At Dumfries and Galloway College our Student Behaviour Policy provides clarity of expected levels of behaviour of all college students when undertaking ALL elements of college activities. It will assist college staff to provide an environment that is welcoming to all and is conducive to effective learning whilst promoting a positive, inclusive, and safe learning environment both on campus and online.

We count on everyone's co-operation in following this policy, creating an environment of developing positive behaviours for learning and life. However, if you do not follow these expectations, you may be referred to the Student Disciplinary Procedure, which could lead to sanctions including potentially exclusion or expulsion from college. For learners under 16 (and vulnerable adults) the College will inform parents/carers of any disciplinary proceedings. For other groups e.g. Apprentices, employers may be informed.

2. *Scope*

This Student Behaviour Policy applies to all students enrolled at Dumfries and Galloway College. It outlines the expected standards of conduct and behavior in various learning environments, including in-person and online settings, as well as guidelines for maintaining academic integrity. The policy aims to foster a respectful, productive, and safe educational atmosphere conducive to learning and personal development. It applies to all interactions within the campus community, including classrooms, online platforms, library facilities, and any college-sponsored events or activities. The policy serves as a framework to ensure all students adhere to the institution's values and principles, promoting a positive and inclusive academic environment.

*Note: The examples provided within this policy are not exhaustive lists.

3.   References

- Assessment Policy
- Artificial Intelligence Policy
- Equality, Diversity, and Inclusion Policy
- Health and Safety Policy
- ICT Acceptable Use Policy
- Quality Assurance Policy
- Safeguarding Children, Young People and Adults at Risk policy
- Onboarding, Retention and Attainment Policy
- Malpractice and Maladministration of Assessment Procedure
- Student Disciplinary Procedure
- Student Work Experience Placement Procedure
- Student Charter

4.   Definitions

- **Behaviour**: The conduct and actions of a student within the college environment, including both in-person and online interactions.

- **Academic Integrity**: Upholding honesty and responsibility in academic work, including completing one's own work, properly citing sources, and not engaging in or tolerating cheating or plagiarism.

- **Learning Environment**: The physical and virtual spaces where educational activities occur, including classrooms, online platforms, libraries, and college-sponsored events.

- **Online Learning**: The virtual educational setting, requiring students to log in on time, ensure technical functionality, and participate actively and respectfully.

- **Student Charter**: A document outlining the mutual expectations between students and the College, including responsibilities and commitments to foster a positive learning experience.

- **Academic Misconduct**: Any form of dishonesty or deception in academic work, including cheating, plagiarism, and unauthorized collaboration.

> ➢ **Bullying and Harassment**: Unwanted and aggressive behaviour that causes harm or distress, subject to disciplinary action and potential external referral.

5.   Responsibility

At Dumfries and Galloway College, we believe that maintaining a positive, inclusive, and respectful learning environment is a collective responsibility shared by all members of our college community. As a student, you play a crucial role in upholding the standards and values that contribute to a productive and harmonious educational experience as well as support seeking behaviours. Additionally, college staff are responsible for upholding and enforcing these policies, providing a supportive and fair learning environment, and addressing any concerns promptly and effectively. Staff will demonstrate trauma informed approaches at all times to understand potential contributing issues first.

6.   Policy

6.1   Student Charter

The College has developed a Student Charter (Appendix 2) which is shared to students at induction and through the college's student portal.

The Student Charter outlines the expectations students can have of Dumfries and Galloway College and the expectations the College has of students. Students are required to complete an enrolment form or enroll electronically. This is a "contract" with the College and commits students to the responsibilities contained within the Student Charter. The responsibilities are designed to ensure that students, individually and collectively, can achieve their full potential in an effective, inclusive, and safe learning environment.

6.2   Behaviour Expectations
6.2.1   Learning

> ➢ Arrive on time to all classes and activities. If you know you are going to be late for genuine reasons, please notify your Lecturer as soon possible.

- Bring necessary materials, complete any pre-class activities and be ready to participate.

- Actively participate in discussions, ask questions, and contribute to group work and practical activities, avoiding distractions. Where you are unclear or unsure seek support.

- Treat Lecturers, fellow students, and campus staff with respect and consideration.

- Mobile phones should only be used in class if required for a personal emergency (agreed with your Lecturer) or if agreed in conjunction with the learning activities.

- Address any issues or concerns with your Lecturer, Personal Tutor, or Curriculum Manager promptly and respectfully.

- Respect classroom expectations, such as no eating or drinking if prohibited, and keeping the classroom clean.

6.2.2   Online Learning

- Log in to online classes on time and stay until the session ends.

- Ensure your technology is working properly, including internet connection, audio, and video. Where it is not contact your Lecturer for suggested support.

- Where possible, attend classes in a quiet, distraction-free environment with an appropriate background. If this proves challenging, speak to your Lecturer or Personal Tutor.

- Participate actively in online discussions, forums, and activities.

- Use respectful and professional language in all communications, including emails and discussion boards.

- Stay focused during online sessions, avoid multitasking, and minimize distractions.

- Keep your camera on during class if required, to facilitate engagement and participation. Should there be personal reasons as to why you

can't or would prefer not to have your camera on, please speak to your Lecturer.

➢ Dress appropriately for online classes, like in-person sessions.

➢ Address technical issues or class-related concerns with the Lecturer promptly.

➢ Mute your microphone when not speaking, use the raise hand feature, and follow other platform-specific protocols or other any protocols as agreed with the Lecturer and class.

6.2.3 Academic Integrity

➢ You must always comply with the colleges Assessment Policy (LINK).

➢ Complete all academic work truthfully and without deception.

➢ Submit only your own work and properly cite all sources.

➢ Do not give or receive unauthorized assistance on assignments, exams, or projects.

➢ Follow all institutional policies and guidelines related to academic integrity.

➢ Report any observed incidents of academic dishonesty to the appropriate person.

➢ Accept responsibility for your actions and understand the consequences of academic misconduct.

➢ Communicate openly with Lecturers about any uncertainties regarding assignments or academic expectations.

➢ Ensure that all group members contribute fairly and honestly to collaborative assignments.

➢ Do not share or distribute exam questions, answers, or other assessment materials.

➢ Ask for assistance or clarification when needed, rather than resorting to dishonest practices.

6.2.4   Around campus

➢ Wear and display your lanyard around your neck with your ID card visible.

➢ Only smoke/vape in the designated smoking areas whilst on college premises.

➢ Please respect all college staff and fellow students treating everyone with dignity and respect.

➢ Respect the college environment, student spaces and resources available to you.

➢ Follow all campus safety protocols and report any concerns to a member of staff.

➢ No hot food is permitted out with the designated refectory areas.

➢ Drinking water is allowed in all spaces but should be in sealed containers. Any other food and drink must only be consumed with agreement from the relevant staff member.

➢ For health and safety reasons, food and drink should only be carried through corridor areas in sealed/lidded containers to reduce risk of spillage and impact of allergies.

➢ Do not run, shout, play loud music or congregate outside rooms you are not waiting to enter. Be always mindful of noise levels particularly in designated learning and study spaces.

➢ Please take note of all signage and information in relevant college areas.

➢ The flexible learning space is used for teaching, support, and self-directed study activities. This is not a space for groups to meet socially.

➢ Music should not be played out loud in communal spaces and particularly in learning areas. Be respectful to others.

6.3 ICT Acceptable Use

➢ You must accept and comply with the colleges ICT Acceptable Use Policy (Link).

➢ If you think someone knows your password you should change it immediately.

➢ You must not try and use any computer without permissions or to try and alter or delete work belonging to others.

➢ College IT facilities are provided for college business or course-related activity only, not for personal use.

➢ You must not introduce or store any computer games, personal music or movies on any college computer or network space.

➢ You must not tamper with any ICT equipment, delete software, or carry out any activity that may prevent others from using the equipment.

➢ Open food and drink are not allowed near computers or any other electric equipment.

➢ When using the internet, you must not enter sites or send e-mails that contain any abusive, sexist, pornographic or unlawful material. All internet access is logged and monitored.

6.4 Social Media

Be respectful and professional at all times when posting on social media.
You must not:

➢ Impersonate or falsely represent another person.

➢ Bully, intimidate, abuse, harass or threaten others.

➢ Make defamatory comments (e.g. comments that are offensive or insulting).

➢ Use or endorse the use of offensive or threatening language or resort to personal abuse towards each other or members of the college community or general public.

➢ Post content that is racist, hateful, threatening, pornographic or incites violence or hatred against others.

➢ Post content that harms the reputation and good standing of the college or those within the college community.

In addition:

➢ Anyone re-posting other people's comments may be considered as guilty as the original individual.

➢ You will be considered wholly responsible for anything posted on your behalf.

➢ Public apologies/deleting offensive posts will not necessarily safeguard you from the college's Student Disciplinary Procedure.

➢ You should be aware that material posted on the internet can be very hard to remove. You are advised not to post content of yourself or others that you might not wish others to see now or in the future. You are also advised not to make any comments which could be held against you in future.

6.5   Student Portal

The Colleges student portal (LINK) has been developed with students for students and should be central to your time at college. The portal provides a range of tools, resources, and guides to help you at college and will be particularly important in the early stages of your journey. We would encourage all students to use this as a tool for directing your own understanding and should be a first point of enquiry for a range of queries.

6.6   Bullying and Harassment

Students who engage in any act of bullying or harassment in college or while at any college function, travelling to or from college, on college transport or in connection to or with any college sponsored activity or service (including online) are subject to disciplinary action, up to and including suspension, exclusion, or expulsion. There may also be need for external referral to services such as the

police. Where it is established that bullying has resulted from a disability which has affected the student's behaviour then due account will be taken of this and the need to make reasonable adjustments the process and actions.

Further detail is included in our Anti-Bullying Procedure (Appendix 3).

Remember:

Students **must wear your lanyard on campus**, so you are clearly identified as a student at the college. If you do not have it with you, please report to reception to request a temporary lanyard for that day on campus. If you are asked to present your ID to a member of staff, please do so respectfully. Refusal to display your ID or secure a temporary lanyard may result in disciplinary action.

Our aim is to provide a welcoming, productive, friendly, and safe environment for all our learners and to do this we need everyone's cooperation and adherence with this policy.

Involving Emergency Services

In the event that serious behaviour is displayed and there is imminent or actual serious threat to students, staff or public safety, the emergency services should be contacted via 999.

In addition, staff dealing with such situations should contact reception who will notify a member of the Senior Leadership Team.

Staff should complete an incident report.

7.   *Distribution*
      All Staff
      Repository

8.   *Revision Log*

Revision Log		
Date	Section	Description

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

Appendix 1: Equality Impact Assessment

Document:	Positive Student Behaviour Policy
Executive Summary:	The Positive Student Behaviour Policy at Dumfries and Galloway College aims to establish clear behavioural expectations for all students to create a positive, inclusive, and safe learning environment. This Equality Impact Assessment (EIA) evaluates the policy's potential impacts on various protected characteristics to ensure it promotes equality and does not inadvertently discriminate against any group.

Duties:

1: Eliminate discrimination, harassment and victimisation

2: Promote equality of opportunity

3: Promote good relations

*   Human Rights to privacy and family life, freedom of thought and conscience, education, employment

PSED Impacts

	Commentary
Age	The policy applies equally to all students regardless of age. However, it acknowledges the need to inform parents/carers for students under 16 or vulnerable adults in disciplinary matters, ensuring appropriate support.
Disability	The policy includes measures to support students with disabilities by incorporating trauma-informed approaches and making reasonable adjustments when behaviour is influenced by a disability. The policy should be continuously reviewed to ensure all accessibility needs are met.
Gender	The policy applies equally to all genders. No specific impact on gender has been identified. However, ongoing monitoring is recommended to ensure gender-neutral language and application.
Gender Based Violence	While not directly referenced to within the procedure effective work continues to be around education, awareness and support in relation to GBV.

Appendix 1: Equality Impact Assessment

Gender identity/ reassignment	The policy's language and implementation are intended to be inclusive of all gender identities. There is no anticipated negative impact, but regular reviews should be conducted to ensure inclusivity.
Marriage/civil partnership	The policy is written intentionally to be inclusive of all partnerships without specific reference to.
Pregnancy/maternity	The policy does not directly impact pregnancy or maternity. However, provisions should be made to accommodate any special needs related to these circumstances.
Religion or Belief	The policy should respect religious practices and observances. Flexibility in enforcing rules related to dress codes or participation in activities should be considered to accommodate religious beliefs.
Race	The policy promotes respect and inclusion across all racial groups. Cultural sensitivity and awareness are crucial in its implementation to prevent racial discrimination.
Sexual Orientation	The policy is designed to be inclusive of all sexual orientations. No specific impacts have been identified, but ongoing monitoring is essential to ensure the policy remains supportive of all students.

Additional Considerations

Care experienced	The policy should recognize the unique challenges faced by care-experienced students and ensure they are supported effectively.
Carers	Students with caring responsibilities may require flexibility under the policy. Provisions should be made to accommodate their needs where possible.
Mental Health	The policy emphasizes a trauma-informed approach, which is crucial for supporting students with mental health challenges. Continuous support and adjustments should be provided as needed.

Appendix 1: Equality Impact Assessment

Socio-economic status	The policy should be implemented with consideration for students from varying socio-economic backgrounds to avoid inadvertent disadvantage.
Veterans	The policy should be implemented with consideration for veterans and will be grounded in a trauma informed approach.
Human Rights*	The policy aligns with the college's commitment to uphold human rights, including privacy, freedom of thought, and the right to education.

Lead Officer:	Executive Director of Student Experience		
Facilitator:	All Staff		
Date initiated:			
Consultation:	The development of this policy involved consultation with various stakeholders, including senior staff, academic staff, and support services. Feedback was gathered to ensure that the policy is inclusive and addresses the needs of all students.		
Research:			
Signature		Date	12.08.24

Student Charter

At Our College, we are committed to creating a supportive and thriving learning environment grounded in our core values: Here for You, Act with Courage, Deliver our Promises and Uniting to Succeed.

This Student Charter outlines the expectations and responsibilities of both the college and its students to foster a productive, respectful, and inspiring academic community!

Building our community

Our college is a partnership between students and staff, built on mutual respect and shared goals. By adhering to this Charter, we collectively ensure a thriving academic environment where everyone can succeed. Your commitment to these values and responsibilities is crucial in maintaining the integrity and excellence of our college community.

Together, we can create a supportive, courageous, and united community that delivers on its promises and empowers every student to reach their full potential. Welcome to Our College, where your journey of growth and success begins.

Our values and what they mean to you

1 **Our core values**
What are our values and how they shape your time at DGC

Here for you

We prioritize your educational journey, well-being, and personal growth. Our commitment is to provide you with the resources, support, and guidance needed to succeed academically and personally.

Act with courage

We champion integrity, accountability, and the pursuit of excellence. Embrace challenges with resilience and use your voice to advocate for positive change within our community and beyond.

Deliver our promises

Reliability and commitment are at the heart of our actions. We hold ourselves accountable to uphold the highest standards of education and support, ensuring we fulfill our commitments to you.

Uniting to succeed

Collaboration and mutual respect are the bedrocks of our community. We encourage teamwork and active participation in creating a unified, inclusive, and diverse college environment.

Appendix 2 – Student Charter

2 College Commitments
Our guide to helping you achieve your goals

Here for you
- Provide accessible, high-quality education and resources.
- Offer comprehensive student support services, including academic advising, mental health counseling, and career guidance.
- Maintain an open-door policy for students to discuss their needs, concerns, and suggestions.

Act with courage
- Uphold academic integrity and encourage critical thinking.
- Support students in taking initiative, whether in research, extracurricular activities, or community service.
- Create a safe space for students to express their ideas and opinions freely.

Deliver our promises
- Ensure timely and effective communication regarding academic requirements, deadlines, and college events.
- Provide consistent feedback on academic performance to aid in continuous improvement.
- Commit to transparency and accountability in all college operations.

Uniting to succeed
- Foster an inclusive and welcoming environment for all students.
- Encourage participation in clubs, societies, and projects.
- Promote respect and understanding among diverse groups within the college community.

3 Student Responsibilities
How you can can the best out of your DGC experience

Here for you
- Engage actively in your learning, be prepared and seek help when needed.
- If you are feeling mentally, physically or emotionally unwell, speak to a member of staff.
- Communicate any issues or challenges to relevant college staff promptly.
- If you are worried about your or someone else's safety, speak to a staff member immediately.

Act with courage
- Maintain academic integrity in all your work.
- Embrace challenges and strive for personal and academic excellence.
- Report any form of discrimination, harassment, or bullying.
- Utilize the support services provided by the college.

Deliver our promises
- Adhere to college policies, deadlines, and academic standards
- Take responsibility for your educational journey and personal development.
- Provide constructive feedback to help the college improve its services.
- Be in the right place at the right time.

Uniting to succeed
- Participate in college life and contribute to a positive and inclusive community both in person and online.
- Respect the diversity and perspectives of your peers.
- Work with staff and fellow students and assist with all reasonable requests.
- Keep hands, objects and offensive language to yourself.

Non-negotiables:

- You must always wear your student lanyard.
- You must only smoke/vape outside the building in the designated zones.
- You must adhere to all reasonable requests from staff.
- You must never bring or be under the influence of drugs, alcohol or weapons.

A breach in these guidelines could result in the application of the student disciplinary procedure which may result in learner repeating the assessment, withdrawal from certification, or suspension from the college.

Appendix 3 – Anti-bullying and harassment Procedure

1.   Purpose

Dumfries and Galloway College is committed to providing a safe, inclusive, and supportive environment for all students, staff, and visitors. Bullying and harrassment of any form, whether physical, verbal, emotional, or cyber, is unacceptable and will not be tolerated. This procedure is aligned with the principles and guidelines set forth in "Respect for All: The National Approach to Anti-Bullying for Scotland's Children and Young People" and outlines the steps to be taken when bullying is reported or observed within the college community.

2.   Scope

This procedure covers all reported incidents relating to the bullying of any college students on any campus location or virtual environment and relates to all college sponsored activity. All college staff, learners, visitors, and agents are responsible for reporting any incident of bullying which they observe. All academic and support staff and learners are responsible for seeking to eliminate bullying and harassment through compliance with this procedure. This also refers to external issues that have been reported to the college.

3.   References

> ➢   Student Disciplinary Procedure
> ➢   Disciplinary Procedure (Staff)
> ➢   Equality and Diversity Policy
> ➢   Dignity at Work Procedure
> ➢   Positive Student Behaviour Policy
> ➢   Safeguarding
> ➢   National Guidance for Child Protection (2023)
> ➢   Respect for All: national approach to anti-bullying

4.   Definitions

In line with "Respect for All," bullying is defined as both behaviour and impact; it is behaviour that can hurt, harm, or affect another person or group emotionally and/or

Appendix 3 – Anti-bullying and harassment Procedure

physically. It can involve an imbalance of power, where the individual being bullied finds it hard to defend themselves. Bullying can take many forms including:

- **Physical**: Hitting, kicking, or any use of violence.

- **Verbal**: Name-calling, threats, or offensive remarks.

- **Emotional**: Spreading rumours, excluding someone from groups, or persistent teasing.

- **Cyberbullying**: Using electronic communication to bully, such as through social media, emails, or text messages.

5.   Procedure

Due to the sensitive nature of bullying complaints, it may be necessary to deal with some instance flexibly.

5.1   Guidance for Learners

5.1.1   **If you think you are being bullied, you should report this a member of staff immediately.**

5.1.2   You will be listened to sympathetically. The staff member will agree with you the nest person to deal with your concern and note that it may be necessary to refer the complaint to the. This member of staff will reach an agreement with you about the best way to deal with this and agreed next steps.

5.1.3   Normally you should speak in the first instance to your Personal Tutor unless you specifically request otherwise. You could however inform any of the following staff:

- ➢   Another Lecturer you feel most comfortable with

- ➢   Your Curriculum Manager

- ➢   Your named Student Adviser

- ➢   Executive Director of Student Experience.

Appendix 3 – Anti-bullying and harassment Procedure

5.1.4   If you feel you cannot tell a staff member directly then please complete an online Bullying Report form on the Student Portal (see image below).

5.1.5   Tell someone at home and ask them to contact your Personal Tutor or Curriculum Manager directly if you do not feel able to do so.

5.1.6   If you believe a friend or someone else in college is being bullied then:

➢   Encourage them to report it and offer to help them to do so if necessary.

➢   Tell a member of staff (as above).

➢   Help them to report directly on their behalf using the digital reporting available on the student portal.

5.2   **Guidance for Staff –** It is recognized that situations could occur where staff members may feel they have been bullied. If this occurs, staff member should refer to the **Dignity at Work Procedure** and the follow the steps in it to raise their concerns.

5.3   **Confidentiality Statement –** All reports of bullying will be handled confidentially, and information will only be shared on a need-to-know basis to protect the privacy of all involved.

5.4   **Dealing with incidents of bullying or harassment –** The intention here is to outline a series of steps through which incidents may be resolved. Depending on the seriousness of the incident, the process may be started at different points.

Appendix 3 – Anti-bullying and harassment Procedure

STAGE 1: INFORMAL RESOLUTION

1. **Reporting**:

    - IN PERSON: A student, staff member, or visitor reports an incident of bullying to any trusted staff member (Personal Tutor, Lecturer, Curriculum Manager or support staff).

    - ONLINE: Reported through the digital Report Bullying link. This 'Report Bullying Team' will pick this up and engage with the appropriate staff member.

2. **Initial Response**:

    - **Timeline**: The staff member receiving the report will acknowledge it within 1 working day.

    - **Action**: The staff member will listen without judgment, provide reassurance, and document the incident.

3. **Informal Resolution Meeting**:

    - **Timeline**: An informal resolution meeting will be arranged within 3 working days of the initial report.

    - **Participants**: The meeting will seek to involve the victim, the accused, and a mediator (usually the staff member who received the report or the Curriculum Manager).

    - **Action**: The aim is to resolve the issue through discussion, understanding, and agreement on actions to prevent recurrence.

4. **Follow-Up**:

    - **Timeline**: A follow-up meeting will be scheduled within 7 working days after the informal resolution meeting.

    - **Action**: The mediator will check on the progress and ensure that the agreed-upon actions are being followed. Further support or adjustments may be made as necessary.

5. **Escalation**:

> ⤳ If the issue is not resolved informally or if the bullying continues, the case will be escalated to Stage 2 - Formal Resolution.

STAGE 2: FORMAL RESOLUTION

1. **Formal Complaint Submission**:

> ⤳ **Timeline**: The formal complaint must be submitted within 5 working days of the unsuccessful informal resolution.

> ⤳ **Action**: The complaint can be submitted in writing to the Curriculum Manager or through the college's online reporting system which will then be passed to the relevant person.

2. **Acknowledgment**:

> ⤳ **Timeline**: The formal complaint will be acknowledged within 2 working days of receipt.

> ⤳ **Action**: The Anti-Bullying Coordinator will notify the complainant that the formal complaint has been received and outline the next steps.

3. **Investigation**:

> ⤳ **Timeline**: The investigation will begin within 3 working days of the formal complaint acknowledgment.

> ⤳ **Action**: The assigned staff member will conduct a thorough investigation, including interviewing the victim, the accused, and any witnesses. Confidentiality will be maintained throughout the process. It may be decided that based on the nature of the investigation the perpetrator(s) may need to be temporarily suspended until the investigation is complete. This should be agreed with the Executive Director of Student Experience of Depute Principle.

Appendix 3 – Anti-bullying and harassment Procedure

One of three outcomes will be considered**:**

- **Unsubstantiated –** no further action

- **Substantiated and disciplinary action necessary –** moves over the the Student Disciplinary Procedure

- **Substantiated but disciplinary action not necessary –** other options explored: Course transfers, Learner contracts etc.

4. **Resolution Meeting**:

- **Timeline**: The resolution meeting will be held within 10 working days of the start of the investigation.

- **Participants**: The meeting will involve the investigating staff member, the victim, the accused, and any other relevant parties.

- **Action**: The findings of the investigation will be discussed, and a formal action plan will be developed. This may include disciplinary actions, mediation, counseling, or other appropriate measures.

5. **Decision and Action Implementation**:

- **Timeline**: The decision and action plan will be communicated within 3 working days following the resolution meeting.

- **Action**: The assigned staff member will ensure the agreed actions are implemented and monitored for effectiveness.

6. **Follow-Up and Review**:

- **Timeline**: A follow-up review will take place within 15 working days after the implementation of the action plan.

- **Action**: The assigned staff member will assess the situation to ensure the bullying has ceased and that all parties are supported. Further actions may be taken if necessary.

7. **Final Report**:

> ⬏ **Timeline**: The final report, summarizing the complaint, investigation, actions taken, and outcomes, will be completed within 20 working days of the formal complaint submission.

> ⬏ **Action**: The report will be filed confidentially, and a copy will be provided to the complainant and the accused.

5.5 Right to representation

At any formal meeting, the student may be accompanied by a friend or representative through the Student Association. Such representation will not include a legal advisor or official appointed by advocacy agencies such as Citizen's Advice Bureau. If the student is under 16, the legal parent or guardian must be copied in on all correspondence and invited to attend the meeting. A school/employer representative may also be invited to attend, as appropriate. If the student is a looked after young person or classed as a Vulnerable Adult, please check the notes in AdminNet/Student Viewer 'Requires 3rd Party Consent' section. A school/employer representative may also be invited to attend, as appropriate.

5.6 Police Involvement

If there is any indication that the alleged behaviour or assault could constitute a criminal offence, the Learner can contact the Police if needed. The College will always respect the wishes of the Learner in contacting the Police, unless it pertains to a child under the age of 16 or a vulnerable adult.

Appendix 4 – Staff Guidance – Responding to behaviours

Minor Misconduct

Dumfries and Galloway College staff will remind students of the Positive Behaviour Policy at induction and throughout the academic year as required, detail expectations of behaviour and supporting support seeking behaviour and self-regulation in students.

In most cases instances at Dumfries and Galloway College, student misbehaviour is minor in nature should be addressed as quickly as possible through informal discussion. These should happen at the time of misbehaviour and handled by the present staff member. There is no need to escalate or refer minor misconduct to a member of the management team.

Staff dealing with minor misbehaviour will address issues in a calm and respectful manner; they will outline the risks and potential consequences of the behaviour and repeated incidents. Students should also remain calm and respectful during the discussion. Where possible this should happen in a quiet and confidential space.

In most cases there would be no need for specific formal meetings and/or recording on the student referral system. However, some behaviours could become concerning the staff member may decide to record this. Usually on repeated minor misconduct should be recorded.

Procedure to address Concerning Behaviours/Persistent Minor Misconduct or Gross misconduct pre disciplinary.

Any instances of concerning behaviour, persistent minor concerns, or serious behaviours, must be reported in the first instance to the Personal Tutor. Where necessary, advice and support should be sought from the relevant Curriculum Manager.

Where certain behaviours are indeed a concern or causing significant disruption to others a period of reflection should be considered before instigating Stage 2 of the disciplinary procedure. In some cases, the Personal Tutor or Curriculum Manager may decide a 'cooling off period' (perhaps to leave for the day) to avoid further escalation and allow time for reflection and consideration of next steps. The Personal Tutor or

Appendix 4 – Staff Guidance – Responding to behaviours

Curriculum Manager should arrange to meet with the student the next day either in person or online for a Stage 1 – On Track meeting.

Trauma informed thinking should be at the forefront of these discussions and try to separate students from the behaviour. The discussion should seek to understand underlying issues the college should be aware of and could seek to support. At the same time, we must promote accountability and an understanding of the consequences of poor behaviour. The outcome should be to ensure the student and the wider group remain on track for progress and success.

Whilst this should remain informal students should be offered the opportunity for representation at the meeting, the Student Association can support with this. The template will also ask if any reasonable adjustments are required. The focus of the meeting should be:

- Review what happened.
- What were the students thoughts at the time and did anything impact that?
- What do they think now after a period of reflection?
- Consider who has been affected by the behaviour?
- What do all parties think should happen next?

If the student engages meaningfully in the in the On Track Meeting it may not be necessary to instigate more formal action and the matter should be considered closed. One action which would be preferred would be an On Track Agreement between the student and the College where all parties agree to a plan of action to make progress and seek help where required which should recorded on the students Personal Learning Plan on AdminNet.

Guidance for Instigating a formal Student Disciplinary Procedure

If more formal action is required, the relevant staff member should instigate Stage 2 of the Student Disciplinary Procedure.

Board of Management	
Agenda Item	**9**
Paper Number	BOM1024.9.3

Date of Meeting	01 October 2024
Location	Dumfries Campus
Title of Paper	Record Retention Policy
Presented by	Joe McGraw
Recommendation	**Approval**
Freedom of Information Disclosure Assessment	
FOI flag:	☒ Disclosable ☐ Non-disclosable
Reason/s for choice:	
Notes from author: (When will it become disclosable? Has FOI Officer guidance been sought?)	
Further comments/updates after initial submission	

Date added	Added by (name and role)	Comment/detail

Read Time: 13 minutes

1.   Recommendation

1.1.   The Board of Management are asked to approve the Record Retention Policy.

2.   Executive Summary

2.1   There are legal and regulatory requirements for us to retain certain data, usually for a specified amount of time. We also retain data to help our business operate and to have information available when we need it. However, we do not need to retain all data indefinitely, and retaining data can expose us to risk and be a cost to our business.

2.2   The GDPR audit that was conducted in December 2023/January 2024 raised an action point insofar as the College should consider creating a policy in regard to managing data retention. This policy augments work that was already in progress via the Data protection Team in developing a record retention schedule for the College. The development of this policy closes out the final action point from the audit and has been done so ahead of schedule.

2.3   The policy has been discussed and agreed by the Information Governance Group.

3.   Context

3.1.   The primary purpose of this policy is to explain our requirements to retain data and to dispose of data and provides guidance on appropriate data handling and disposal.

4.   Risk

Risk	Mitigations
Risk 5. Business Continuity Incident – Fire, Systems, Emergency Procedures, Health (BoM)	➢ The Record Retention Policy explains our requirements to retain data and to dispose of data and provides guidance on appropriate data handling and disposal

5.   Implications

Financial	**YES**	To ensure there is no financial impact on the College
Legal	**YES**	Legal and regulatory requirements for us to retain certain data, usually for a specified amount of time
Learning and Teaching	**YES**	To ensure we retain student records in line with awarding body requirements
Equalities	**YES**	To ensure that all personal data is secure and retained for no longer than legally required

Joe McGraw
VP People & Transformation
2 September 2024

RECORD RETENTION POLICY

Responsibility: Vice Principal People & Transformation

Issue Date:

Equality Impact Assessment:

Version:
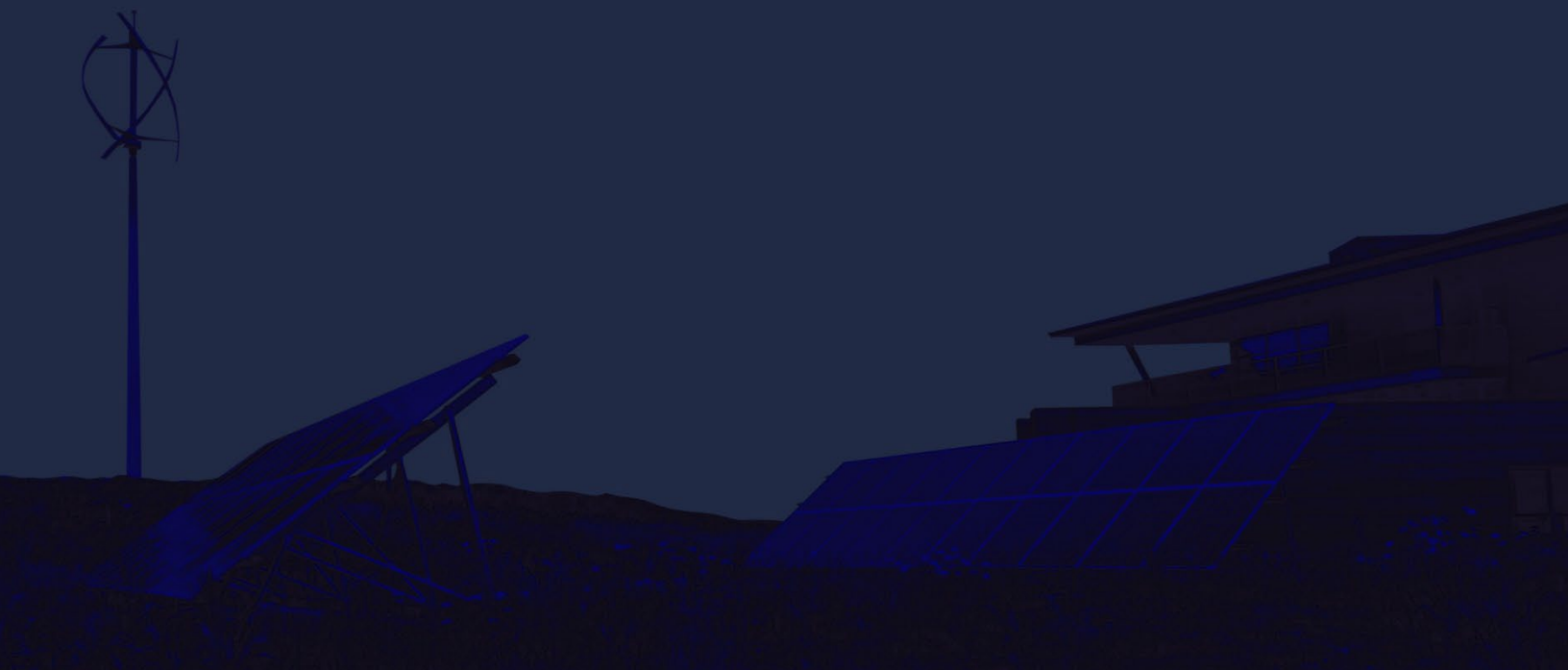
Table of Contents

Record Retention Policy

1. *Purpose*

The corporate information, records and data of Dumfries and Galloway College ("the College", "we" or "us") is important to how we conduct business and manage employees.

There are legal and regulatory requirements for us to retain certain data, usually for a specified amount of time. We also retain data to help our business operate and to have information available when we need it. However, we do not need to retain all data indefinitely, and retaining data can expose us to risk and be a cost to our business.

This Record Retention Policy explains our requirements to retain data and to dispose of data and provides guidance on appropriate data handling and disposal.

Through this Policy, and our data retention practices, we aim to meet the following commitments:

- We comply with legal and regulatory requirements to retain data.
- We comply with our data protection obligations, in particular to keep personal data no longer than is necessary for the purposes for which it is processed (UK GDPR Article 5(1)(e) 'storage limitation' Principle).
- We handle, store and dispose of data responsibly and securely.
- We create and retain data where we need this to operate our business effectively, but we do not create or retain data without good business reason.
- We allocate appropriate resources, roles and responsibilities to data retention.
- We regularly remind employees of their data retention responsibilities.
- We regularly monitor and audit compliance with this Policy and update this Policy when required.

2. Scope

This Policy covers all data that we hold or have control over. This includes physical data such as hard copy documents, contracts, notebooks, letters and invoices. It also includes electronic data such as emails, Teams posts, chat, data held in secure online storage, audio and video recordings and CCTV recordings. It applies to both personal data and non-personal data. In this Policy we refer to this information and these records collectively as "data".

This Policy covers data held by third parties on our behalf, for example, cloud storage providers or offsite records storage.

This Policy explains the differences between our records, disposable information, confidential information belonging to others, personal data and non-personal data. It also gives guidance on how we classify our data.

3. References

UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018 Guidance produced by various UK awarding bodies.

JISC Records Retention Management: Guidance for retention schedules for information held in higher and further education institutions.

4. Definitions

Data: All data that we hold, or have control over, and therefore to which this Policy applies. This includes physical data such as hard copy documents, contracts, notebooks, letters and invoices. It also includes electronic data such as emails, data held in secure online storage, audio and video recordings and CCTV recordings. It applies to both personal data and non-personal data.

Record Retention Policy: This Policy, together with the Record Retention Schedule, which explains our requirements to retain data and to dispose of data as well as providing guidance on appropriate data handling and disposal.

Disposable information: Data that may be discarded or deleted at the discretion of the user once it has served its temporary useful purpose and/or data that may be safely destroyed because it is not a record as defined by this Policy and the Record Retention Schedule. Examples may include:
  ➢ Duplicates of originals that have not been annotated.

> ➤ Preliminary drafts of letters, memoranda, reports, worksheets, and informal notes that do not represent significant steps or decisions in preparing an official record.
> ➤ Books, periodicals, manuals, training binders, and other printed materials obtained from sources outside of Dumfries and Galloway College and retained primarily for reference purposes.
> ➤ Spam and junk mail.

Record: Certain data is important to us and is therefore listed in the Record Retention Schedule. This may be because we have a legal requirement to retain it, or because we need it as evidence of our transactions, or to manage our business. We refer to this as a record.

Non-personal data: Data which does not identify living individuals, either because it is not about living individuals (for example financial records) or because it has been fully anonymised.

Personal data: Any information identifying a living individual or information relating to a living individual that we can identify (directly or indirectly) from that data alone, or in combination with other identifiers we possess, or can reasonably access. This includes special categories of personal data such as health data and pseudonymised personal data but excludes anonymous data or data that cannot be traced back to an individual. Personal data can be factual (for example, a name, email address, location or date of birth) or an opinion about that person's actions or behaviour.

Record Retention

Schedule: The schedule which sets out retention periods for records.

Storage limitation

principle: Data protection laws require us to retain personal data for no longer than is necessary for the purposes for which it is processed. This is referred to in the UK GDPR as the principle of storage limitation.

Confidential information

belonging to others: Any confidential information that an employee may have obtained from a source outside of Dumfries and Galloway College, such as a previous employer, must not, so long as such information remains confidential, be disclosed to or used by us. Unsolicited confidential information submitted to us should be refused, returned to the sender where possible, or deleted.

5. Responsibilities

All employees

All employees must comply with this Record Retention Policy and Schedule, any communications suspending data disposal and any specific instructions from the Vice Principal – People and Transformation who is the College lead for data protection. Failure to do so may subject us, our employees, and contractors to serious civil and/or criminal liability. An employee's failure to comply with this Policy may result in disciplinary sanctions, including suspension or termination. We aim to comply with the laws, rules, and regulations that govern our organisation, and with recognised compliance good practices. It is therefore the responsibility of everyone to understand and comply with this Policy.

Vice Principal – People and Transformation

The Vice Principal is responsible for identifying the data that we must or should retain and determining the proper period of retention, seeking relevant advice as required. The Vice Principal consults with business areas to enable this work and may instruct the destruction of some records whose retention period has expired.

6. Procedure

6.1   Records Retention

Any record that is part of any of the categories listed in the Record Retention Schedule, must be retained for the period indicated in the Schedule. A record must not be retained beyond the period indicated in the Record Retention Schedule unless a valid business reason (or notice to preserve documents for contemplated litigation or other special situation) calls for its continued retention. If you are unsure whether to retain a certain record, contact either:

the Performance Team – for advice relating to the retention of assessment evidence and records, or

the Data Protection Team – for advice relating to all other data retention of personal data.

The Record Retention Schedule will not set out retention periods for **disposable information**. This type of data should only be retained for as long as it is needed for business purposes. Once it no longer has any business purpose or value it should be securely disposed of.

As explained above, UK data protection law requires us to retain personal data for no longer than is necessary for the purposes for which it is processed (principle of storage limitation). Where data is listed in the Record Retention Schedule, we have considered the principle of storage limitation and balanced this against our requirements to retain the data.

What to do if a record is not listed in the Record Retention Schedule.

If you consider there is an omission in the Record Retention Schedule, or if you are unsure, contact the Vice Principal - People and Transformation or where the records concerned contain personal data, contact the Data Protection Officer.

6.2   Storage and Disposal of Records

Our data must be stored in a safe, secure, and accessible manner. Hard copy data must be stored in the confidential waste containers provided until it is removed and shredded by our contracted third party. Non-confidential hard copy data may be destroyed by recycling. Suitable arrangements must be made for the secure destruction of electronic records. Please contact the Digital Services Manager for advice.

The destruction of data must stop immediately upon notification from the Vice Principal - People and Transformation that preservation of documents for contemplated litigation is required (sometimes referred to as a litigation hold). This is because we may be involved in a legal claim or an official investigation. Destruction may begin again once the Vice Principal - People and Transformation lifts the requirement for preservation.

6.3   Record Retention Schedule

Dumfries and Galloway College establishes retention or destruction schedules or procedures for specific categories of data. This is done to ensure legal compliance (for example with our data protection obligations) and accomplish other objectives, such as meeting business requirements, protecting intellectual property and controlling costs.

The College uses the following Business Classification Scheme Functions to organise its records for the purposes of the Record Retention Schedule.

⬏ Governance

- Communication
- Academic Purposes
- Student Support
- Managing People
- Managing Resources

Employees should comply with the retention periods listed in the Record Retention Schedule available on AdminNet.

Any changes to the Record Retention Schedule must be approved by the Vice Principal - People and Transformation, with details of the changes being notified to the Information Governance Group.

7. Distribution

All Staff

Repository

Revision Log		
Date	Section	Description

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

Appendix 1 - Equality Impact Assessment

Equality Impact Assessment

Document:	Record Retention Policy
Executive Summary:	The ability to control availability of data held should ensure that personal equalities profile data is retained using consistent standard practice. This Policy supports human rights detailed in the European Convention on Human Rights and Human Rights Act 1998. This Policy should ensure that individuals trust us to retain their data appropriately in line with legislation, best practice guidelines produced by relevant authorities, and for the College's business needs. Standardised practice on retention supports equality of opportunity, prevention of discrimination or harassment, and upholding information privacy rights.

Duties:
1: Eliminate discrimination, harassment and victimisation
2: Promote equality of opportunity
3: Promote good relations
*   Human Rights to privacy and family life, freedom of thought and conscience, education, employment

PSED Impacts

	Commentary
Age	Promotes all duties – Records are held for as long as necessary in line with the legal basis for collecting and processing the personal data. Where records are disposed of when no longer required this in line with data protection law and prevents any further use of the documentation beyond the defined purposes of processing, fulfilling the purpose limitation principle.
Disability	
Gender	
Gender Based Violence	This policy complements the College's existing framework of safeguarding procedures.
Gender identity/ reassignment	Promotes all duties – Records are held for as long as necessary in line with the legal basis for collecting and processing the personal data. Where records are disposed of when no longer required this in line with data protection law and prevents any further use of the documentation beyond the defined purposes of processing, fulfilling the purpose limitation principle.
Marriage/civil partnership	
Pregnancy/maternity	

Religion or Belief	
Race	
Sexual Orientation	

Additional Considerations

Care experienced	Promotes all duties – Records are held for as long as necessary in line with the legal basis for collecting and processing the personal data. Where records are disposed of when no longer required this in line with data protection law and prevents any further use of the documentation beyond the defined purposes of processing, fulfilling the purpose limitation principle.
Carers	
Mental Health	
Socio-economic status	
Veterans	
Human Rights*	This Policy supports human rights detailed in the European Convention on Human Rights and Human Rights Act 1998. The Policy supports the right to a private life by the deletion of information where it is no longer required to be kept for a particular purpose.

Lead Officer:	
Facilitator:	
Date initiated:	
Consultation:	

Research:			
Signature		Date	

Dumfries and Galloway College

Board of Management

Agenda Item	10
Paper Number	BOM1024-10.1

Date of Meeting	01 October 2024
Location	Dumfries Campus
Title of Paper	Chair's Report
Presented by	Caroline Stuart
Recommendation	**Discussion**
Freedom of Information Disclosure Assessment	
FOI flag:	☒ Disclosable ☐ Non-disclosable
Reason/s for choice:	
Notes from author: (When will it become disclosable? Has FOI Officer guidance been sought?)	
Further comments/updates after initial submission	

Date added	Added by (name and role)	Comment/detail

Read Time:

1.   Recommendation

1.1.   The Board of Management are asked to **note** and **discuss** any points within the paper.

1.2.   The Board are asked to **approve** the Committee structure, and the Calendar for 25-26.

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 14 June 2024. This report covers activity during the period June to September 2024. The Board are invited to **discuss** the contents and **approve** where indicated.

3.   Activities June to September 2024

3.1   <u>Governance Review</u>

3.1.1   An interim review of Governance was completed by Candy Munro of CDN during the first quarter and the report was shared with members in the June meeting.

3.1.2   We have commissioned CDN to undertake the major Governance review in the Autumn 2024. They will attend our October Board meeting as part of that review. The summer saw planning meetings to arrange a schedule of interviews across the College Management team and Board. That work is now well underway.

3.2   <u>Board Member Survey</u>

The Chair and Governance Professional met to discuss the outputs from the survey and 1:1s with members to ensure all comments for improvement were being actioned. These were included in the Board Development plan and discussed in detail at the Board Development Committee. The committee was assured that all actions were either complete or in train. The Development/Action Plan for 24-25 is attached at Appendix 3.

3.3   <u>Engagements June-Sept 2024</u>

- ➢ Colleges Scotland Chairs Meeting
- ➢ Colleges Scotland Board meeting
- ➢ College Scotland Strategic Planning Day
- ➢ Colleges Scotland – Ministerial meeting
- ➢ College Employers Scotland
- ➢ Candy Munro – CDN re Governance review x2
- ➢ Meeting SFC

3.4   <u>Board appointments</u>

3.4.1   I am delighted to welcome our new Board and Student Association members to today's meeting. A full induction has been arranged by the Governance Professional with a chance to meet Senior executives, Chair and board members. The Committee Chairs are introducing each new member to the work of their committee and providing mentoring support.

3.4.2   We warmly welcome you all and look forward to working with you in the months and years ahead.

3.5   <u>New Members and Committees (Appendix 1)</u>

- ➢ George Clarke – F&GP and HR Sub committee
- ➢ Kirsty Duncan – Audit and L&T
- ➢ Alastair Irons – L&T and Audit
- ➢ Inga McVicar – F&GP and L&T

3.6   New Student Association Members and Committees

> ➢ Honor Gibson (Co-Optee) – L&T and Board Development Committee
> ➢ Shane Saunders – L&T

3.7   Other Committee movements

3.7.1   Jamie Ross took over from Gillian Brydson as Chair of Audit. We would like to note our thanks to Gillian for her hard work and endeavour on the Audit Committee as Chair. Jamie will also join the Board Development Committee.

3.7.2   The Chair has joined L&T Committee

4.   Board Calendar for 2025-26

Attached at Appendix 2, the Board of Management are asked to **approve** the calendar for session 2025-26 and note amendments to 2024-25.

5.   Risk

Risk	Mitigations
Choose a risk	➢ None attached to the paper

6.   Implications

Financial	NO	
Legal	**NO**	
Learning and Teaching	**NO**	
Equalities	**NO**	

Caroline Stuart
Chair of the Board of Management
23/9/24

Appendix 1

BOARD OF MANAGEMENT	AUDIT	FINANCE & GENERAL PURPOSE	LEARNING AND TEACHING	REMUNERATION	BOARD DEVELOPMENT	GRIEVANCE / APPEALS
Membership	**Membership**	**Membership**	**Membership**	**Membership**	**Membership**	**Membership**
Caroline Stuart (Chair)	Jamie Ross (Chair)	Richard Nash (Chair)	Sharon Hodgson (Chair)	Sue Irving (Chair)	Caroline Stuart (Chair)	Caroline Stuart (Chair)
Joanna Campbell (Principal)	Gillian Brydson	Joanna Campbell	Ann Hill	Caroline Stuart	Sharon Hodgson	Ann Hill
Ann Hill	Ann Hill	Caroline Stuart	Gillian Brydson	Will Dowson	Richard Nash	Claire McLean
Richard Nash	Sue Irving	Claire McLean	Susan McLellan	Ann Hill	Sue Irvine	Jamie Ross
Will Dowson	Will Dowson	Kate Glendye	Honor Gibson, SA	Richard Nash	Claire McLean	
Sue Irving	Kirsty Duncan	~~Susan McLellan~~	Shane Saunders, SA	Claire McLean	Susan McLellan	
Gillian Brydson	Alastair Irons	~~Jamie Ross~~	~~Kate Glendye~~	Jamie Ross	Jamie Ross	
Claire McLean		David Burns	Pete Woods TU	Sharon Hodgson	Honor Gibson	
Sharon Hodgson		George Clark	Alastair Irons			
Jamie Ross		Inga McVicar	Inga McVicar			
George Clark			Kirsty Duncan			
Alastair Irons		**HR SUB**	Caroline Stuart			
Inga McVicar		Claire McLean (Chair)				
Kirsty Duncan		Ann Hill				
Susan McLellan (Staff Member)		Sue Irving				
Kate Glendye (Staff Member)		Kate Glendye				
Honor Gibson Co-Optee (Student)		Susan McLellan				
Shane Saunders (Student Member)		George Clark				

BOARD OF MANAGEMENT	AUDIT	FINANCE & GENERAL PURPOSE	LEARNING AND TEACHING	REMUNERATION	BOARD DEVELOPMENT	GRIEVANCE / APPEALS
Pete Woods (TU Academic)						
David Burns (TU Support)						

APPROVED 2024–25 SCHEDULE OF BOARD & COMMITTEE MEETINGS

BOARD – Tue **01 OCTOBER 2024** - DUMFRIES

L&T	Tue	10 SEP	4pm
HRSub	Thu	12 SEP	3pm
F&GP	Thu	12 SEP	4pm
BDC	Wed	16 SEP	4pm
AUDIT	Thu	19 SEP	4pm

Papers Issued 24 Sep

BOARD – Mon **09 DECEMBER 2024** – DUMFRIES/HYBRID

REM	Mon	11 NOV	4pm
HRSub	Tue	12 NOV	3pm
F&GP	Tue	12 NOV	4pm
L&T	Tue	19 NOV	4pm
AUDIT	Thu	28 NOV	4pm

Papers Issued 02 Dec

DGC
Dumfries and Galloway College
One step ahead
BOM

BOARD – Mon **24 MARCH 2025** - DUMFRIES

HRSub	Thu	06 MAR	3pm
F&GP	Thu	06 MAR	4pm
L&T	Tue	11 MAR	4pm
AUDIT	Thu	13 MAR	4pm

Papers Issued 17 Mar

BOARD – Fri **13 JUNE 2025** - STRANRAER

HRSub	Thu	15 MAY	3pm
F&GP	Thu	15 MAY	4pm
L&T	Wed	21 MAY	4pm
AUDIT	Thu	29 MAY	4pm
REM	Mon	02 JUN	4pm
BDC	Wed	04 JUN	4pm

Papers Issued 06 Jun

Other key dates 2024-25: Dumfries Campus Graduation 2025 – 4 October 2024
Board Strategy Event – Monday 12 May 2025 (Dumfries)
Stranraer Campus Celebration of Success – 13th June 2025

DRAFT 2025-26 SCHEDULE OF BOARD & COMMITTEE MEETINGS

BOARD - MON **6 OCTOBER 2025** 2 pm - DUMFRIES

HRSUB	Thu	11 Sep	3pm
F&GP	Thu	11 Sep	4pm
BDC	Tue	16 Sep*	4pm
AUDIT	Thu	18 Sep	4pm
L&T	Tue	23 Sep	4pm

Papers Issued 29 Sep

BOARD - MON **08 DECEMBER 2025** 2 pm – DUMFRIES

HRSUB	Tue	13 Nov	3pm
F&GP	Tue	13 Nov	4pm
REM	Mon 17 Nov		4 pm
L&T	Tue	18 Nov	4pm
AUDIT	Mon 24 Nov		4pm

Papers Issued 1 Dec

DGC
Dumfries and Galloway College
One step ahead
BOM

BOARD - MON **23 MARCH 2026** 2 pm - DUMFRIES

HRSUB	Thu	05 Mar	3pm
F&GP	Thu	05 Mar	4pm
L&T	Tue	10 Mar	4pm
AUDIT	Thu	12 Mar	4pm

Papers Issued 18 Mar

BOARD - FRI **12 JUNE 2026** 12.30 pm STRANRAER

REM	Mon	04 May	4pm
HRSUB	Thu	14 May	3pm
F&GP	Thu	14 May	4pm
L&T	Tue	19 May	4pm
AUDIT	Thu	21 May	4pm
BDC*	Mon	25 May	4pm

Papers Issued 5 Jun

Other key dates 2025-26:   Dumfries Campus Graduation – XX
Board Strategy Event – Mon 11/5/26 (Dumfries)
Stranraer Campus Celebration of Success – XX

* If required

Board Development and Action Plan 2024-25

Board Aims	Developments and Actions	Timescale	Lead	Update
1. Leadership and 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.	• Mission 2030 review. • Board will continue to monitor KPIs and strategic developments.	Strategy Day May 25	Principal / Chair/ ELT	KPIs and strategic developments update at each board meeting.
2. Student Experience				
2.1 Encourage reporting from student members to capture the student voice	• Support Student Members • Student Members Induction	Ongoing	LG/SMc	SA Members induction Oct 24. Susan McLellan has agreed to mentor student members to support them in their role.
3. Accountability				
3.1 Continue to Monitor financial sustainability.	• Financial sustainability to be continuously monitored	Review at each FGP/Board	Chair/ Principal	

Board Development and Action Plan 2024-25

Board Aims	Developments and Actions	Timescale	Lead	Update
4. Board Effectiveness				
4.1 EER	• EER Report – follow through on actions	June 2025	GP	
4.2 Board Evaluation 23-24	• Ensure actions from 23-24 evaluation are complete	Dec 2024	GP/BDC	The BDC reviewed actions from self-evaluation to ensure actions are complete. Outstanding actions will be added to Dev/Action Plan.
4.3 Use of governance space	• Continue to use time before board meetings for training/guest appearances	Ongoing	GP	A list of guest speakers has been compiled and will be invited to attend board meetings. Training opportunities will be organised for board meetings when applicable. • Cyber Resilience May 2024 • Risk management training arranged for 1/10/24
4.4 Arrange replacement for SIM in due course	• Arrange nomination process for SIM	March 25	GP	
4.5 Review Committee Induction	• Identify specific induction requirements for each committee	March 25	GP	

Board Development and Action Plan 2024-25

Board Aims	Developments and Actions	Timescale	Lead	Update
5. Individual Effectiveness				
5.1 Board training	• College mandatory training for new members – GDPR, Cyber Resilience, Safeguarding and E&D • College Induction /Evaluate	As soon as possible	Bd Sec	Ensure all mandatory training is completed by new members Board induction organised for 1st October.
5.2 CDN Training	• Ensure all new members complete CDN induction and relevant modules ie Audit and Remuneration training. • CDN governance programme 24-25	Within 1 month of starting	GP	
5.3 Mentors for new members	• Arrange a mentor for new members to help	Within 1 month	GP	Chairs of each Committee to mentor new members
6. Relationships and Collaboration				
6.1 Continue collaboration and partnership working across south of Scotland.	• Members to continue to attend events when possible			Board members receive Key Lines to Take info from College Scotland
6.2 Monitor progress with UWS and other partners	• Encourage stakeholders to attend board meetings and strategy event.			