

Finance and General-Purpose Committee

Minute of Meeting Held 12 September 2024 16:00-18:00hrs – MS Teams

Present:		
Richard Nash (RN) (Chair) 16:32hrs	Joanna Campbell (JC)	Susan McLellan (1604)
Caroline Stuart (CS) (Acting Chair)	Kate Glendye (KG)	David Burns (DB)
In attendance:		
Karen Hunter (KH)	Douglas Dickson (DD)	Ann Hill (16:11hrs)
Joe McGraw (JM)	Lorraine Grierson (LG)	Alexandra Rankin (Minute taker)
Apologies:		
Claire McLean (CM)	Jamie Ross (JR)	

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

- 1.1.1. The Chair had provided apologies for the start of the meeting and therefore the Acting Chair welcomed everyone to the meeting. It was agreed to adjust the order of the agenda in light of apologies.
- 1.1.2. The Governance Professional confirmed that the meeting was not quorate. Apologies were noted as above. She advised that A Hill as a member of HR Sub Committee would be invited to join the meeting for the People and Transformation paper.

1.2. Declaration of Interests and Connections | Verbal | Acting Chair C Stuart

- 1.2.1. The Chair reminded Members to indicate any declaration of interest or connections as appropriate throughout the course of the meeting.

FOR APPROVAL

2. Item 2 | Minutes of Previous Meetings and Matters Arising

Minute of Meeting 16 May 2024 | Paper FGP0924-2.1 | C. Stuart

- 2.1.1. The members in attendance agreed that the minutes accurately reflected the record of the meeting. Approval would be requested by email from absent members of the Committee.
- 2.1.2. **ACTION: Approval request to be issued by email to absent Members. LG**
- 2.2. Action Log | Paper FGP0924-2.2| L. Grierson

2.2.1. The Committee was advised that all actions were marked as complete and an update for Action 1 would be provide by the Depute Principal later in the meeting.

2.2.2 The Committee noted the Action Log.

3. Item 3 | Strategic Risk Register | Paper FGP0924- 3.1 | L Grierson

3.1. It was agreed to discuss the item during the meeting and circulate the paper to members by email for approval.

3.2. Considering the recent conclusion of pay settlements, it was proposed that the Committee consider a reduction to the scoring of Risk 7. Attendees discussed the likelihood of future disruption and proposed the following adjustments to the inherent risk scoring, likelihood 3/5 and impact 4/5 concluding a 12/25 gross score. A reduction to the net score was also proposed, likelihood 2/5, impact 3/5 concluding an overall net score of 6/25.

3.3. DB commented on factors which could potentially impact the risk. Attendees then discussed these factors and reached agreement on the reduction and approval routing.

3.4. **The Committee approved risk 3 and agreed to seek approval for the reduction of scoring of risk 7 as agreed.**

3.5. **ACTION - Circulate the paper to members not present for approval by email. LG**

FOR DISCUSSION

4. Item 4 | Finance, Strategy & Sustainability

4.1 Management Accounts and Contribution Report | Paper FGP0924- 4.1| K Hunter

4.1.1. A summary of the accounts for the year to July 2024 and budget out-turn was provided.

4.1.2. Confidential to members.

4.1.3. **The Committee noted the content of the report and the Chair stated that the pension assumptions could not be approved - these would be discussed at the Board meeting.**

4.2. **Item 4.2 | Bad Debt Report Paper FGP0924-4.2 | K Hunter**

4.2.1. Confidential to members.

4.1.3 **Action: Circulate the Approval request to Members by email. LG**

4.1.4 **The Committee noted the Bad Debt Report.**

5. Item 5 | Record Retention Policy | Paper FGP0924-5.1| J McGraw

5.1. The Committee noted the legal and regulatory requirements for the retention of data and were informed that following the recommendation from the GDPR audit conducted in December 2023/January 2024 a new policy for managing data retention was developed. This policy augments work that was already in progress via the Data Protection Team in developing a Record Retention Schedule for the College. The purpose of the policy was

explained and responsibilities within. The policy had been discussed and agreed by both SLT and the Information Governance Group.

- 5.2. The Schedule had not been circulated and therefore timeframes for retention were not known, the Committee recommended that the Policy be tabled for approval by the Board of Management with no further changes.
- 5.3. **The Committee recommended the Policy for approval by the BOM.**

FOR DISCUSSION

6. **Item 6 | Commercial Development & Marketing Update | Paper FGP0924-5.1 | D. Dickson**

- 6.1. The Committee had previously requested enhanced scrutiny of this item and it was noted that recruitment for the Commercial Director post was in progress.
- 6.2. The Depute Principal introduced the report and shared a presentation explaining the commercial strategy...
- 6.3. Confidential to members

Ann Hill left the meeting at 16:57hrs.

- 6.4. **The Committee noted the content of the report.**

7. **People & Transformation**

7.1. Item 7 | FGP0924-7.1 | People and EDI Report | J McGraw

- 7.1.1. Pay negotiations for Lecturing and Support Staff had concluded and agreed with all trade unions. Details had been contained within the report. All action short of strike action had now been halted and salary adjustments to support staff had been concluded. Support staff adjustments would be concluded for October payroll.
- 7.1.2. Support staff Job evaluation was in progress at national level and the College had recently implemented the FEDRA system for evaluation and he confirmed that the new HR Manager will commence next week.
- 7.1.3. A review of the sickness absence for the 2023/24 academic year had been conducted with a small reduction reported.
- 7.1.4. Culture and Behaviour sessions had been undertaken with managers. The Values team were working to address celebration and success for staff, enhanced communication methods and an immersive leadership exercise was planned. Further updates would be provided. Staff development items had now been transferred to the Learning and Development team to improve efficiencies. EDI meetings were schedule and activities had been reported.
- 7.1.5. The Committee welcomed the Immersive Leadership project.
- 7.1.6. ...
- 7.1.7. The Committee queried the sickness absence data, some issues with communication between managers and staff around sickness was reported and management would seek

to ensure appropriate interventions are provided to staff in a timely manner. DD commented on the correlation with seasonal sickness absence and recommended further discussion on mitigations to support health awareness.

7.1.8. The Committee recommended that all costs associated with absence be included in F&GP financial reportage. **The Vice Principal and Executive Director of Finance would consider costs of absence and backfill within management accounts.**

7.1.9. The Above and Beyond Awards event was commended by the Committee.

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

7.2. **Estates and Sustainability Update | Paper FGP0924-7.1 | J McGraw**

7.2.1. A number of updates were highlighted and noted as follows: -

7.2.2. The Fire Safety Risk Assessment report had been concluded and management actions identified. Insurance for the College was now being provided by Allianz.

7.2.3. Through the UK Shared Prosperity Funding an ECO Systems modular build had been agreed with completion for 2025.

7.2.4. Additional works had been identified and were progressed over the summer period to aid the student experience and overall building condition.

7.2.5.

7.2.6. The Committee commended the successful funding bids.

7.2.7. The Committee queried the items raised through the Fire Safety Risk Assessment and it was noted that a further update on the progress of management actions would be provided to the F&GP Committee.

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

7.3. **Item 7 | FGP0924-7.3 | Information Governance Update (Data Protection Compliance / FOI / Digital Services**

7.3.1. There has been no change to the volume or nature of FOI requests with a reduction of requests recorded in July and August.

7.3.2. Enhanced information relating to FOI has been added to all formal College papers and guidance for staff was available on the FOI AdminNet page.

7.3.3. All returns to the Scottish Information Commissioner had been completed.

7.3.4. No major cyber incidents had been reported since the last meeting with the number of impersonation attempts showing an increase.

7.3.5. The revised Data Protection Bill had been rejected by Parliament and would be replaced with a new Digital Information and Data Bill, updates would be provided.

FOR INFORMATION ONLY

7.3.6. **Item 8 | AOCB | Verbal | R Nash**

7.3.7. The Principal recommended that a paper providing an update from the Tri-Partite Group be tabled for the next meeting, this was agreed.

7.3.8. **ACTION: Tri-Partite Group Report to be tabled for the next agenda re formal process for sale of assets and business transformation. LG**

7.3.9. **Date of the Next Meeting**




7.3.10. The date of the next meeting is scheduled for 12 November 2024.



**Dumfries and
Galloway College**

One step ahead

Item 2
FGP0924-2.2

Key	
	Ongoing
	Closed
	Overdue

F&GP COMMITTEE ACTION LOG 12.09.24

No	Meeting Date	Action	Lead	Deadline	Status	Commentary
1	16.05.24	The commercial strategy/KPIs to be brought to each Committee meeting for monitoring	DD/BMc	Sep 24	Closed	D Dickson will provide an update re Commercial Strategy.
2	16.05.24	Adjust narrative to March 24 Minute to reflect use of bid writer.	LG	May 24	Closed	Commentary amended at 5.1.3 and 5.1.5 of the minute and sent to members on 17/5/24
3	16.05.24	Budget 2024-25 – change to include support staff job evaluation costs and project items for approval by the BoM	KH	May 24	Closed	Budget updated and presented to BoM on 14 May 24 and approved.

Finance and General Purposes Committee		
Agenda Item	3	
Paper Number	FGP0924-3.1	
Date of Meeting	12 September 2024	
Location	MS Teams	
Title of Paper	Strategic Risk Register	
Presented by	L Grierson	
Recommendation	Approval	
Freedom of Information Disclosure Assessment		
FOI flag:	<input checked="" type="checkbox"/> Disclosable <input type="checkbox"/> 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: 9 minutes

1. Recommendation

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

2. Executive Summary

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

3. Context

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

3.2 Currently FGP Committee has 2 risks assigned to it for review. ELT recently reviewed the 3 lines of defence for each risk and mitigations have been updated accordingly.

- Risk 3 Financial Sustainability. Risk 3 remains a major risk – **no changes to grading.**
- Risk 7: Industrial Relations – **no changes to grading.**

4. Strategic Implications

4.1 This paper links into the following strategic priorities: Priority 1 – Student Experience, Priority 3 – Growth and Financial Sustainability.

5. Risk

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

6. Implications

Financial	YES	The College is required to achieve a balanced budget position on an annual basis in a tough fiscal environment.
Legal	YES	Failure could result in insolvency, reputational damage and industrial action.
Learning and Teaching	YES	Challenges to deliver on the objectives set out in the Regional Outcome Agreement (ROA). Challenges re sustainability of course offerings and impact on industrial action to learning.
Equalities	NO	

Lorraine Grierson
Governance Professional
3 September 2024

STRATEGIC RISK REGISTER UPDATE F&G COMMITTEE – SEP 24

RISK DEFINITION		ORIGINAL TASK				RESIDUAL RISK					
No	Risk	Likelihood	Impact	Total	Risk Level	Likelihood	Impact	Total	Risk Level	Risk Appetite	Trend
Responsible Person - VP Finance and Commercial Services											
3	Failure to achieve institutional sustainability (F&GP)										
		5	5	25		4	5	20		Cautious	=
Responsible Person – VP People and Transformation											
7	Failure to achieve effective Industrial Relations (F&GP)										
		5	4	20		5	3	15		Cautious	=

KEY: ASSESSMENT OF RISKS

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

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

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/MED/MAJ/CRIT	Critical Risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
Front Line (Management Assurance) Operational Delivery /Systems /Quality Assurance /Supervision	<ul style="list-style-type: none"> Increase Commercial Income/ reduce reliance on SFC funding Effective cost control Active tracking of Credits against forecast Protection of funding through dialogue with SFC Scheme of Delegation 	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Strategic and Operating Plans approval process Budgets approval process Major project business cases approval processes Finance Directors Network 	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Internal Audit Programme External Audit Regional Outcome Agreement 	<ul style="list-style-type: none"> 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
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Risk Status	Meeting 1 MAJ	Meeting 2	Meeting 3	Meeting 4
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MEETING	AMENDMENTS TO RECORD AND PLANS TO TREAT
Q1	Owner – all mitigations have been reviewed and updated. No change to grading.
Q2	
Q3	
Q4	

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

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)	IMPACT	(B)	What is the total risk score? (A x B)	20/25
	5/5		4/5		
The GROSS risk is therefore: MIN/MED/MAJ/CRIT	Major Risk				

3 LINES OF DEFENCE	MITIGATIONS	MONITORING
Front Line (Management Assurance) Operational Delivery /Systems /Quality Assurance /Supervision	<ul style="list-style-type: none"> Constructive formal and informal communication channels Regular meetings Staff awareness and contingency planning 	<ul style="list-style-type: none"> LJNC (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	<ul style="list-style-type: none"> LJNC (Local Joint Negotiation Committee) Representation at Employers Association NRPA (National Recognition and Procedures Agreement) Representation at Strategic HR Network 	<ul style="list-style-type: none"> ELT/SLT/Board Staff engagement survey Regular union/management dialogue
Independent Assurance Internal Audit / external bodies	<ul style="list-style-type: none"> College Employers Scotland 	<ul style="list-style-type: none"> SFC/Scottish Government HR Sub/BoM oversight

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

LIKELIHOOD	(A)	IMPACT	(B)	What is the total risk score? (A x B)	15/25
	5/5		3/5		

Risk Status	Meeting 1 MED	Meeting 2	Meeting 3	Meeting 4
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MEETING	AMENDMENTS TO RECORD AND PLANS TO TREAT
Q1	Owner – all mitigations have been reviewed and updated. No change to grading.
Q2	
Q3	
Q4	

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

Finance and General Purposes Committee		
Agenda Item	5	
Paper Number	FGP0924-5.1	
Date of Meeting	12 September 2024	
Location	MS Teams	
Title of Paper	Record Retention Policy	
Presented by	Joe McGraw	
Recommendation	Approval	
Freedom of Information Disclosure Assessment		
FOI flag:	<input checked="" type="checkbox"/> Disclosable <input type="checkbox"/> 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 Finance and General Purposes Committee 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



**Dumfries and
Galloway College**

One step ahead

RECORD RETENTION POLICY

Responsibility: Vice Principal People & Transformation

Issue Date:

Equality Impact Assessment:

Version:



Table of Contents

Record Retention Policy.....	2
1. Purpose.....	2
2. Scope.....	3
3. References.....	4
4. Definitions.....	4
5. Responsibilities.....	6
6. Procedure.....	7
6.1 Records Retention.....	7
6.2 Storage and Disposal of Records.....	8
7. <i>Distribution</i>	9
Appendix 1 - Equality Impact Assessment.....	10

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.

- 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:	<p>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.</p> <p>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.</p> <p>Standardised practice on retention supports equality of opportunity, prevention of discrimination or harassment, and upholding information privacy rights.</p>

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	
Carers	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.
Mental Health	
Socio-economic status	
Veterans	
Human Rights*	

Lead Officer:	
Facilitator:	
Date initiated:	
Consultation:	

Research:			
Signature		Date	

Finance and General Purposes (HR Sub)		
Agenda Item	7	
Paper Number	FGP0924-7.1	
Date of Meeting	12 September 2024	
Location	MS Teams	
Title of Paper	People and EDI update	
Presented by	Joe McGraw	
Recommendation	Discussion	
Freedom of Information Disclosure Assessment		
FOI flag:	<input checked="" type="checkbox"/> Disclosable <input type="checkbox"/> 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 Committee is invited to note the paper and discuss any of the items presented.

2. Executive Summary

2.1 To provide the HR Sub Committee with an update on the people (staff related issues) at the College. The details contained within this report will be used as the basis for the Finance and General purposes Committee meeting. The paper covers: -

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

3. Context

3.1 Workforce 2025

3.1.1 Discussions have been held with local TU representatives, and we have informed them that we have re-opened the window for VSS applications. The current window is open from 19 August until 30 September 2024.

3.1.2 The committee is aware that we have approval in place from SFC to undertake VSS up until July 2025.

3.1.3 The committee will be aware that a separate paper on Workforce 2025 was presented at the Strategic Board Day on 13 May 2024. An update paper is currently being worked on and will be shared with the Board of Management at the scheduled meeting on 1 October 2024.

3.2 National Pay Negotiations

3.2.1 Pay negotiations for Lecturing or Support Staff have now been concluded and agreed with all trade unions.

3.2.2 ...

3.2.3 Unison were the last support side trade union to reach agreement following a unanimous vote by their members in favour. Changes to support staff pay were made in June 2024.

3.2.4 ...

-

3.2.5 EIS-FELA members voted unanimously in favour of this revised award. Changes to salary will be made in October 2024, pending formal ratification by EIS-FELA.

3.2.6 This will also bring to an end the sustained period of action short of strike (ASOS).

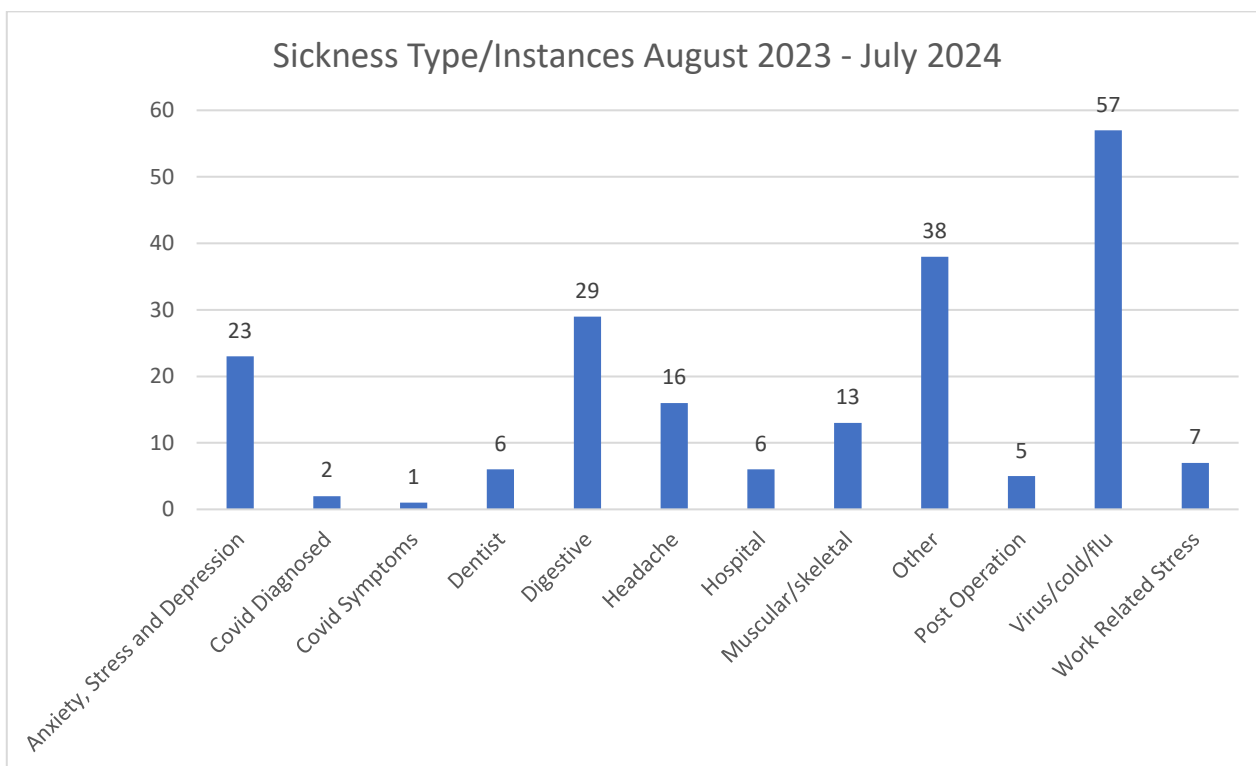
3.2.7 The National Job Evaluation project remains ongoing across the Scottish college sector. The College has purchased the 'FEDRA' system and plans are being put in place to train staff prior to undertaking job evaluation at a local level.

3.3 Sickness Absence

3.3.1 A review of the types of sickness absence for the 2023/24 academic year has been conducted. The top 5 reasons for absence are:

- Virus/Cold/Flu
- Other (e.g., various reasons)
- Digestive
- Anxiety, stress/depression
- Headache

3.3.2 Further detail is shown in the graph below.



3.3.3 Comparative sickness absence data is shown below. The information for the period August to July shows an average of 5.55% absence for 2022/23 compared to 4.18% for the same period in 2023/24. A reduction of 1.37%.

AY 22/23	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July	Average % across period
LTS as % of absence rate	53.14%	59.08%	65.09%	55.32%	74.07%	69.19%	62.52%	57.78%	61.63%	61.34%	40.43%	95.20%	62.90%
STS as % of absence rate	46.86%	40.92%	34.91%	44.68%	25.93%	30.81%	37.48%	42.22%	38.37%	38.66%	59.57%	4.80%	37.10%
Overall % absence rate	4.80%	5.90%	6.20%	7.80%	5.50%	5.40%	5.40%	6.20%	4.70%	3.50%	5.80%	5.40%	5.55%

AY 23/24	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July	Average % across period
LTS as % of absence rate	58.53%	79.97%	65.22%	61.81%	60.99%	58.17%	61.05%	47.86%	59.02%	35.48%	44.27%	67.17%	58.3%
STS as % of absence rate	41.47%	20.03%	34.78%	38.19%	39.01%	41.83%	38.95%	52.14%	40.98%	64.52%	55.73%	32.83%	41.71%
Overall % absence rate	4.70%	3.50%	3.80%	3.40%	3.60%	4.80%	5.50%	5.50%	6.00%	3.5%	3.6%	4.9%	2.80%

3.4 Culture and Behaviours

3.4.1 We have been continuing with our next steps regarding the results of the staff engagement survey, particularly around our areas to develop:

- I am confident the College is heading in the right direction.
- I trust our senior leaders to do what is right for the College
- The College is good at celebrating its successes.

3.4.2 The Values Ambassadors have met to discuss the results and how we can find ways to communicate differently with staff moving forward and an 'Action Planning' session was held, that was attended by 15-line managers.

3.4.3 In response to some of the areas to develop, we aim to:

- Develop new ways of recognition and celebrating success.
- Look to introduce 'Immersive Leadership' and members of ELT will spend time with departments.
- Explore ways in which our channels of communication can be developed further, but also how we listen (areas being explored by values ambassadors).

3.5 Learning and Development Update

3.5.1 Work has commenced in the transfer of organisational development under one area of the College. This will now transfer to the Performance Team, who will take the lead across all areas of people development and augment the current work undertaken for academic staff.

3.5.2 Bouncebackability - A workshop was held on 20th June, hosted by 'Art of Brilliance'. The session was thought provoking and engaging and reminded us of all the importance to take time out to reflect and practise the art of being grateful for all the positives, no matter how small in our daily lives.

3.5.3 This included a deep dive into resilience, much needed coping mechanisms to add to our own resilience 'tool kit' and new ways of thinking. We learnt the importance of being kind to ourselves and how we can choose to make positive changes in our personal and professional lives.

3.5.4 On 13th August, our Staff Development Day featured a series of insightful sessions, beginning with essential updates from the Learning Technologists, Digital Services, and Student Records teams. Ben Beer (external host) from The Safeguarding Group then led a presentation, and interactive workshops focused on adolescent behaviour, Trauma Informed Practice, and supporting the learner journey through modelling a positive culture.

3.6. Equality & Diversity

3.6.1 The EDI committee met in June and an update was provided on a range of EDI activities that had taken place, which included:

- International Women's Day Campaign well received and shared.
- Mental Health Awareness week, a successful 'wear it green day' – helped to spread awareness.

- A successful Student Association Above and Beyond Awards Event delivered 12 June.
- Promotion of Men’s Health Awareness Week.
- Learning and disability week activities were supported within the curriculum around the theme of cost of living and employability. Supported Learners welcomed and engaged well with the mental health awareness events.

3.6.2 The Marketing team reported good engagement through social media channels.

4. Strategic Implications

4.1 This links into Strategic Priority 2 – People and Culture.

5. Risk

Risk	Mitigations
7 Failure to achieve effective Industrial Relations	<ul style="list-style-type: none"> ➤ Constructive formal and informal communication channels ➤ LJNC (Local Joint Negotiation Committee) ➤ Representation at Employers Association ➤ Attendance at Strategic HR Network

6. Implications

Financial	Yes	
Legal	Yes	
Learning and Teaching	Yes	
Equalities	Yes	A full Equality and Diversity role is available under a separate agenda item for the Committee. The College Equality and Diversity webpage can be accessed here .

Joe McGraw

VP People & transformation

3 September 2024

Finance and General Purposes Committee		
Agenda Item	7	
Paper Number	FGP0924-7.2	
Date of Meeting	12 September 2024	
Location	MS Teams	
Title of Paper	Estates and Sustainability Update	
Presented by	Billy Currie	
Recommendation	Discussion	
Freedom of Information Disclosure Assessment		
FOI flag:	<input checked="" type="checkbox"/> Disclosable <input type="checkbox"/> Non-disclosable	
Reason/s for choice:	Non confidential information	
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 Finance and General Purposes Committee are asked to note and discuss the contents of this paper.

2. Executive Summary

- 2.1. The main project for Estates, Fire and Security Upgrades, were completed within budget and set timescales.
- 2.2. Additional works were identified and progress over the summer period to aid the student experience and overall building condition.
- 2.3. Main work priority in 24/25 will be the execution of the GPSEDS funded capital project and the UKSPF funded capital project.

3. Context

3.1 Statutory Compliance:

- 3.1.1 Over the summer months there is a focus on statutory compliance, usually in the form of more intrusive checks which can't be done with the main college population onsite. The following table gives a summary of these visits.

Contractor	Purpose	Outcome
	Fire risk assessment	Report pending
	Lightning Protection	Complete
	Electrical Installation Condition Report – 5 Year Inspection and Testing	Complete – report pending
	Fire Extinguishers – renew across Dumfries Campus	Complete
	Fire Doors – 6 monthly inspections.	Complete
	Wind Turbine annual inspection	Complete
	Insurance Engineering Inspections – PSSR/PUWER	Complete
	Inspections of Hair and Beauty Machines - PUWER	Complete
	Cold water tanks – Empty and clean/chlorination – Legionella compliance.	Complete
	Inspection and servicing of construction machinery	Complete
	Inspection and Servicing of equipment in refectory and Zest areas	Complete

3.2 General Works

3.2.1 Over the summer months, the Estates team take the opportunity to have a wide range of works undertaken. These works are generally related to the classroom/office estate and as such are done when limited personnel are onsite.

Contractor	Purpose	Status
	Fire/Security/CCTV	Final commissioning taking place
	Move main air compressor – noise travelling into teaching spaces on Mezzanine	Complete – moved onto loading bay
	Electrical Workshops – 2028/2029. Strip out and replace plasterboard in training booths	Complete
	Install fire strips to fire doors	Complete
	Painting in rooms 1046/1074b/Ladies toilets 2nd floor/Wall outside janitors office	Complete
	Transform room 1046, old Princes Trust room. Strip out, decorate, supply and install new furniture.	Complete
	Install Air Conditioning into rooms 2095/96/97 and room M014C	Complete
	Install new electrical sockets to outside of plumbing teaching booths	Complete
	Facilitate SDS and SE moves – empty rooms/paint/minor repairs	Complete
	Paint new sensory room on level 1. Paint wall outside sports corridors/Paint men's changing room/Paint wall in fitness suite	Complete
	General repairs – lighting/doors/door handles/sinks/install sockets in zest/install new Hair and Beauty washer and drier (both campuses)/Repair and replace signage	Complete
	Complete floor marking out in brickwork and construction workshop	Complete
	Install new fire curtain – central stairs	Complete

	Deep cleans of brickwork/construction and Joinery workshops Dumfries and Stranraer.	Complete
	Install of Panasonic Equipment in Green Energy Room	Complete
	Lockers – empty/clean and then conduct key audit	Complete

3.3 Estates Projects 2024/25

3.3.1 There are 2 key Estates based projects for AY 2024/25 which have been granted external funding. These are detailed as follows:

- **Green Public Sector Decarbonisation Scheme (GPSEDS):** ... allocation from Scottish Government to fund key workstreams which are external overcladding, internal floor slab insulation, low carbon heat/hot water system and some additional fabric upgrades including main entrance at Dumfries. Current status of the works is design team currently being procured using Scotland Excel Frameworks.
- **UK Shared Prosperity Fund (UKSPF):** ... allocated from UKSPF to provide additional teaching space at Dumfries campus, aligned with the growth in engineering and construction delivery. The project will see the use of permanent modular buildings housing 2 x classrooms aimed at freeing up workshop space for increased delivery. Project currently out to tender.

4. Strategic Implications

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

4.2 Further links to Priority 4, Finance and Performance and Priority 1 Student Experience.

5. Risk

Risk	Mitigations
Risk 3. Failure to achieve institutional sustainability (FGP)	➤ Use of external funding sources for major capital projects.
Risk 10. Failure to achieve an effective student experience	➤ Ensuring projects and works align with enhancing the student experience
Risk 12. Health and Safety	➤ Ensure a suitable programme of works is in place to maintain compliance in line with statutory regulations

6. Implications

Financial	YES	<p>Continued investment required in estates projects each year to ensure building and facilities are kept in operational condition.</p> <p>External funding eases the pressure on College budgets in future years.</p> <p>Works targeted to reduce future costs such as utilities (Electricity and Gas).</p>
Legal	YES	The College must meet statutory requirements in terms of Estates provision.
Learning and Teaching	YES	Estates provision directly affects the provision of high quality learning and teaching.
Equalities	YES	The College estate must always be suitable for all users.

Billy Currie

Director of Estates and Sustainability
02 September 2024

Finance & General Purposes Committee		
Agenda Item	7	
Paper Number	FGP0924-7.3	
Date of Meeting	12 September 2024	
Location	MS Teams	
Title of Paper	Information Governance Group Update	
Presented by	Joe McGraw	
Recommendation	Discussion	
Freedom of Information Disclosure Assessment		
FOI flag:	<input checked="" type="checkbox"/> Disclosable <input type="checkbox"/> Non-disclosable	
Reason/s for choice:		
Notes from author: (When will it become disclosable? Has FOI Officer guidance been sought?)	No FOI officer guidance has 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 Finance and General Purposes Committee are asked to discuss the contents of this paper.

2. Executive Summary

- 2.1 There has been no change to the volume of requests, staff and student matters and commercial requests remained most in demand. Requests from the website 'what do they know' have also been received. It was noted that during the summer period of July and August that limited requests had not been made.
- 2.2 Enhanced information relating to FOI has been added to all formal College papers and guidance for staff was available on the FOI AdminNet page.
- 2.3 The 'return' to the Scottish Information Commissioner was completed.
- 2.4 No major cyber incidents to report since the last meeting.

3. Context

3.1 Freedom of Information Requests

- 3.1.1 It was reported that since the last meeting 4 FOI requests have been received and responded to within the statutory 20 working days. No appeals were received.
- 3.1.2 All statutory survey data has been returned to the commissioner.
- 3.1.3 The volume of FOI requests has remained consistent, albeit with a downturn in requests made during the summer break.

3.2 Data Protection/GDPR

- 3.2.1 Parliament rejected the Data Protection Bill just prior to the General Election and will be revisited. A Digital Information and Smart Data Bill is expected to be developed and reforms to the legislation are anticipated.
- 3.2.2 The Retention Schedule has been updated and would be tabled for SLT in October 2024.
- 3.2.3 Privacy notices have been reviewed and updated.

3.3 Data Subject Rights Requests and Concerns

- 3.3.1 There have been no requests since the previous meeting.

3.4 Data Security Incidents and Personal Data Breaches

- 3.4.1 None to report since the last meeting.

3.5 Staff Training

- 3.5.1 Mandatory Data protection training had been requested in June 2024, 75% completed in 23/24, monitoring would continue with reportage to ICG.

3.6 Data Sharing Agreements

- 3.6.1 All data sharing agreements have been updated.

3.7 Policy and Procedure

3.7.1 The Data Protection Team and Performance Team have developed a Record Retention Policy. This has been approved by ICG and SLT. A separate paper is included for today’s meeting for this policy to be approved by F&GP, prior to final sign off at the Board of Management in October.

3.8 Cyber Update

3.8.1 No major incidents have been reported since the last meeting. One student account had been compromised and swiftly locked down. Overall, there has been a reduction in phishing and cyber attempts however impersonation attempts had increased.

4. **Strategic Implications**

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

5. **Risk**

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

6. **Implications**

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

Joe McGraw

Vice Principal People & Transformation

2nd September 2024