

**FINANCE AND GENERAL-PURPOSE COMMITTEE**

**MINUTE OF MEETING HELD ON 16 MAY 2024 AT 16:00 VIA TEAMS**

<b>Present:</b>		
Richard Nash (Chair)	Joanna Campbell (JC)	Jamie Ross (JR) late
Caroline Stuart (CS)	Kate Glendye (KG)	
Susan McLellan (SM)	Claire McLean (CM)	
<b>In attendance:</b>		
Karen Hunter (KH)	Douglas Dickson (DD)	Bill McMillan (BM) Item 5
Joe McGraw (JM)	Lorraine Grierson (LG)	Alexandra Elkins (note taker)
<b>Apologies:</b>		
David Burns		

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

- 1.1.1. The Chair welcomed everyone to the meeting and the Secretary to the Board confirmed the meeting was quorate. Jamie Ross had circulated commentary in writing and queries were raised by Members throughout the meeting.
- 1.1.2. Apologies were noted as above.

**1.2. Declaration of Interests and Connections | Verbal | Chair R Nash**

- 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. Minutes of Previous Meetings and Matters Arising**

**2.1. Minute of Meeting 07 March 2024 | Paper 2.1 | Chair R Nash**

- 2.1.1. The minutes were approved as an accurate record of the meeting with no changes.

**2.2. Action Log | Paper 2.2 | L. Grierson**

- 2.2.1. In respect of Action 1, the Committee was advised that adjustments to the Management Accounts and associated reports had been actioned and would be presented for the start of the next academic session.
- 2.2.2. Action 5 – Recommendation for bid-writing resource. A query was raised on the action and the Committee was informed that a resource had been recommended and utilised with

positive feedback and outcome. It was agreed to adjust the minute to reflect the operational ask and negate the requirement of a paper and action.

2.2.3. All other actions were marked as complete or included in the agenda.

2.2.4. **ACTION: - Adjust narrative of the minute at item 5 as discussed. LG**

2.2.5. **The Committee noted the Action Log.**

### **3. Item 3 - Strategic Risk Register | Paper 3 | L Grierson**

3.1. Following review by the Executive Leadership Team the following was noted in respect of Risk 3 and Risk 7: -

- Risk 3 – Failure to Achieve Institutional Sustainability – No change.
- Risk 7 – Failure to achieve industrial relations – No change.

3.2. It was noted that strike action by UNISON on two dates had been withdrawn pending the outcome of the revised offer and consultation. EIS-FELA discussions were on-going. Some reflections on the trade union positions were shared by attendees. The Committee agreed that Risk 3 and Risk 7 would remain unchanged considering updates provided.

3.3. **The Committee approved risk 3 and 7 without further change.**

## **FOR DISCUSSION**

### **4. Finance, Strategy & Sustainability**

4.1. Management Accounts | Paper 4.1 | K Hunter

4.1.1. A summary of the accounts for the period to March 2024 and forecasts for 2023-24 was provided.

4.1.2. Confidential to members.

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

4.2. Item 4.2 | Budget 24-25 / Financial Forecast Report – 5 year | Paper 4.2 | K Hunter

4.2.3. Confidential to members.

4.2.4. The Committee agreed to approve the budget subject to the inclusion of the item relating to support staff Job Evaluation....

4.2.5. Key budget scenarios were approved.

4.2.6. The Committee requested that SFC forecasts be adjusted as discussed at item 4.2.4.

4.2.7. Both Members and Executive commended the recent planning towards the budget and forecasts which were both improved and comprehensive, in particular the significant contribution by the Executive Director of Finance and Planning.

4.2.8. **The Committee approved the Budget 2024-25 for recommendation and approval by the Board of Management with agreed changes as discussed.**

4.2.9. **The Committee approved the Financial Forecasts for submission to SFC.**

KG left the meeting at 5pm.

BM joined the meeting at 5:01pm for item 5 only.

### **For Discussion**

#### **5 Item 5 | Commercial Development and Marketing Update | Paper 5.1 | B McMillan**

5.1 Confidential to members.

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

BM left the meeting at 17:11 pm

#### **6 People & Transformation**

##### **6.1 Estates and Sustainability Update | Paper 6.1 | J McGraw**

6.1.1 A range of works were completed over the Easter break in line with the Estates Action Plan and the installation of upgraded Fire, Intruder and CCTV system at Dumfries Campus were due for completion in May 2024.

6.1.2 A query was raised on the status of fire systems at Stranraer Campus, and it was confirmed that a fire risk assessment had been undertaken in 2023 with no issues raised.

6.1.3 Works would continue to be carried out with an overall aim to improve the student experience with all future projects subject to scrutiny by the SLT.

6.1.4 A fire risk assessment at Dumfries Campus was scheduled in July 2024 and a full report will be provided.

6.1.5 An ambitious bid for funding had been submitted to the Scottish Government Energy Efficiency Grant Scheme and awaiting outcome from the bid.

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

JC left the meeting at 17:14 pm

##### **6.2 Information Governance Update (Data Protection Compliance / FOI / Digital Services | Paper 6.2 | J McGraw**

6.2.3 The Vice Principal introduced the report, the following key points were noted: -

- Since the last meeting 12 FOI requests have been received and processed within statutory timeframes.
- The annual review of Register of Processing Activity (ROPA) and annual self-assessment ICO tracker were complete.
- GDPR Audit - 5 of 6 management actions had been completed.
- Following service disruptions in December and January, an external review of the ICT estate had been completed. No major issues were identified; however, an

action plan has been put in place to further reduce risks, enhance security, and improve the ICT infrastructure's overall health.

6.2.4 The Committee welcomed the progress made on all improvements to enhance security. ...

6.2.5 The range and nature of the FOI requests was queried, and more detail was shared with a reminder of associated processing costs issued.

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

## **7 HR Sub Committee Update| Verbal| C McLean**

7.1 It was confirmed that the results from the Staff Engagement Survey have been very good with a 70% response rate. There were 30 questions in total with an average score of 6.9 across all questions. There are clear areas for development and focus points which will be put into a plan for the committee to monitor progress. LG confirmed that all FGP members have access to the HR Sub Committee folder on Admincontrol where they can access the survey presentation.

## **8 Committee Self Evaluation and Terms of Reference | Paper 7.1 | L Grierson**

8.1 The Board Secretary discussed the content of the evaluation survey with members who were happy with the content.

8.2 The committee raised the importance of an increased focus on commercial .... A question was raised regarding the commercial strategy after discussions at the board strategy day and it was requested that this was brought to the committee for monitoring progress towards Ambition 2030.

8.3 Members noted the quality of financial reporting had improved significantly over the last year and reports were scrutinised and challenged by the committee.

8.4 LG advised that the terms of reference had been reviewed with senior staff to ensure the content was relevant and up to date. LG advised that the responsibilities outlined in the terms of reference had been mapped against the business schedule and the committee could take assurance that all their remit was covered throughout the year.

8.5 The Committee noted the survey results and took comfort in the knowledge that all business was being attended to as per the business schedule.

8.6 **ACTION: The commercial strategy to be brought to each Committee meeting.**

### **For Information only**

## **9 AOCB | Verbal | R Nash**

9.1 There was no further business to discuss.

## **10 Date of the Next Meeting**

10.1 The date of the next meeting is scheduled for 12 September 2024.



**Dumfries and  
Galloway College**

One step ahead

Item 2  
FGP0524-2.2

**Key**  
Ongoing  
Closed  
Overdue

## F&GP COMMITTEE ACTION LOG 16.05.24

No	Meeting Date	Action	Lead	Deadline	Status	Commentary
1	07.03.24	<u>Management Accounts</u> The Chair recommended further reconciliation within the 3 reports (Management accounts, Reconciliation, Commercial) for clarity and understanding.	KH	June 2024		KH to advise
2	07.03.24	<u>Budget Scenarios for 2024 – 2028</u> KH to provide a revised Budget Scenarios paper for the Board meeting.	KH	March 2024	Closed	Paper submitted to the Board 25/3/24 showing probability.
3	07.03.24	KH to RAG rate items to be presented for next F&GP meeting ensuring items are built into the next budget and operating plan.	KH	May 2024	Closed	RAG rated paper submitted to BoM on 25 <sup>th</sup> March as requested.
4	07.03.24	<u>Commercial and Marketing</u> Recommendation for Bid writing resource to be included in paper to the Board	DD	March 2024	Closed	JC advised at BoM 25/3/24 that a bid writer had been utilised for bids.
5	07.03.24	<u>Estates and Sustainability Update / Condition Survey Report 5-Year Plan</u>	JM	May 2024	Closed	Tabled for meeting 16/5/24.

No	Meeting Date	Action	Lead	Deadline	Status	Commentary
		Develop a priority list report and add total figures in report and forecasts.				
6	07.03.24	<u>Estates and Sustainability Update / Condition Survey Report 5-Year Plan</u> Email detail on Green Loans.	JM	May 2024	Closed	Information sent to J Ross on 11/3/24

<b>MEETING</b>	<b>Finance &amp; General Purposes Committee</b>
<b>AGENDA ITEM:</b>	<b>3</b>
<b>PAPER NO:</b>	<b>FGP0524-3.1</b>

<b>Date</b>	16 May 2024
<b>Location</b>	MS Teams On-line
<b>Title of Paper</b>	Strategic Risk Register
<b>Presented By</b>	Lorraine Grierson
<b>Recommendation</b>	Approval
<b>Appendix Attached</b>	NO
<b>Disclosable Under FOISA</b>	YES

Read Time: 8 minutes

**1. Recommendation**

- 1.1 The Finance and General Purposes Committee are asked to consider any changes and, if so minded, approve the Strategic Risks 3 and 7.

## 2. Executive Summary

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

## 3. Context

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

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

- Risk 3 Financial Sustainability – **no changes**. Risk 3 remains a major risk.
- Risk 7: Industrial Relations – **no changes**.
  - Risk 7 continues to be a significant rating. ...T

## 4. Strategic Implications

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

## 5. Risk

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

## 6. Implications

<b>Financial</b>	Yes	The College is required to achieve a balanced budget position on an annual basis in a tough fiscal environment. Financial loss due to industrial action.
<b>Legal</b>	Yes	Failure could result in insolvency, reputational damage and industrial action.
<b>Learning and Teaching</b>	Yes	Challenges to deliver on the objectives set out in the Regional Outcome Agreement (ROA). Challenges re sustainability of course offerings and impact on industrial action to learning.



<b>Equalities</b>	No	
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**L Grierson**

Secretary to the Board

24 April 2024

**STRATEGIC RISK REGISTER UPDATE F&G COMMITTEE – MAY 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	Significant Risk
Risks to be reported to, and monitored by, Board of Management:	Scores: 16 – 20	Major Risk
Risks to be reported to, and monitored by, Board of Management:	Scores: 21 – 25	Fundamental Risk

Risk Score Matrix	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**

<b>Reference to Departmental Risk Registers:</b>	Financial
<b>Owner:</b>	Executive Director of Finance and Planning
<b>Description of the Risk:</b>	Failure to achieve institutional sustainability due to sector-level budget allocations in 2024-25
<b>What are the possible consequences if the risk was to emerge?</b>	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

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

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

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

Risk Status	Meeting 1 MAJ	Meeting 2 MAJ	Meeting 3 MAJ	Meeting 4 MAJ
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MEETING	AMENDMENTS TO RECORD
Q1	No change by Owner
Q2	<p>Timely preparation of Management Accounts and forecasts added to Front Line Monitoring. SLT added to Oversight of Management Activity Monitoring – Owner</p> <p>FGP have considered the net rating given the mitigations in place but agree that the funding element of the risk is still significant, therefore the rating will remain the same. Members asked for consideration to be given to the wording in the risk to reflect funding as the major concern.</p> <p>Audit - the funding element being the significant risk, the Committee agreed that the narrative should be revised to ensure clarity that the risk was attributed to external funding restrictions Owner to re-word</p>
Q3	Suggest scoring of Gross Risk increased to Fundamental. Description of Risk updated to refer to sector level budget allocations and ability to operate within SPFM.
Q4	No change by Owner

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

<b>Strategic Objective:</b>	<b>Risk No: 7</b>
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<b>Reference to Departmental Risk Registers:</b>	Organisational
<b>Owner:</b>	Vice Principal People and Transformation.
<b>Description of the Risk:</b>	Failure to achieve effective Industrial Relations through local dialogue/relationships and effect of national campaigns from trade unions
<b>What are the possible consequences if the risk was to emerge?</b>	Financial loss, impact to ability to effectively teach, industrial action, action short of strike action (ASOS), loss of reputation.

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

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

Numerical Scoring of NET Risk (i.e., with controls in place)					
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What is the predicted <b>LIKELIHOOD</b> of the risk occurring?	(A) 5/5	What is the predicted <b>IMPACT</b> of the risk?	(B) 3/5	What is the total risk score? (A x B)	<b>15/25</b>
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Risk Status	Meeting 1 SIG	Meeting 2 SIG	Meeting 3 SIG	Meeting 4 SIG
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MEETING	AMENDMENTS TO RECORD
Q1	<p>No changes from Owner.</p> <p>FGP asked for the description and consequences to be amended as below:</p> <ul style="list-style-type: none"> <li>• Failure to achieve effective Industrial Relations through local dialogue/relationships and effect of national campaigns from trade unions.</li> <li>• Consequences: Financial loss, impact to ability to effectively teach, industrial action, action short of strike action (ASOS), loss of reputation.</li> </ul>
Q2	No changes from Owner.
Q3	<p>Owner - ...</p> <p>Front Line Monitoring added - Communication issued to teaching staff Ongoing dialogue with local TU Representatives. Risk could increase if local dispute raised.</p>
Q4	<p>3 days of strike action from EIS during April 2024 and potential for escalation regarding national dispute. ...P</p> <p>Notification of additional strike action from Unison in May 2024.</p>

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

<b>MEETING</b>	<b>Finance &amp; General Purposes Committee</b>
<b>Agenda Item:</b>	<b>6</b>
<b>Paper No:</b>	<b>FGP0524-6.1</b>

<b>Date</b>	16/05/2024
<b>Location</b>	MS Teams On-line
<b>Title of Paper</b>	Estates and Sustainability Update
<b>Presented By</b>	Billy Currie
<b>Recommendation</b>	Discussion
<b>Appendix Attached</b>	YES
<b>Disclosable Under FOISA</b>	YES

Read Time: 10 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 A range of works were completed over Easter break in line with Estates Action Plan.
- 2.2 The install of the new Fire, Intruder and CCTV system is progressing well and is on target for May completion.

## 3. Context

### 3.1 Estates Works 23/24

- 3.1.1 From the Estates Action Plan, a number of works have been carried out across the campuses which are focussed on immediate condition actions as well as student experience focussed works. The table below will show works that have been agreed and progressed.

Activity	Timescale	Category	Status - RAG
Baseline plan of level 0 workshop areas at Dumfries Campus	Full year work, completion by May 2024	Campus Experience	Funding bid in place via UK Shared Prosperity Fund – Works ongoing in terms of the review and options appraisal of level 0. Funding bid to UK SPF to carry out upgrade works, and new teaching space provision has not been approved and will no longer progress.
Classroom upgrades – E-Sports and 2 x general classrooms	1 x October 2023 1 x April 2024 1 x July 2024	Campus Experience	Agreement to focus on Mezzanine level classroom and upgrade 1056 workroom. Works completed Feb 2024
Flooring works, DFS Level 0 and level 2. Stranraer ground floor	Completion by summer 2024	Condition	Levels 0 and Costa completed in Feb 2024
Fire alarm System Upgrade	Implementation summer 2024	Condition	Upgraded fire alarm system at Dumfries campus, currently identified as end of life. Works progressing with the fire systems nearing completion. Main install works complete, panel switch overs due in early May
CCTV System Upgrade	Implementation October 2024	Condition	Upgrade and modernize external CCTV at both campuses. Works progressing, over 40% of new cameras now fitted and recording. 4 of 8 external cameras swapped over, awaiting new connectors to complete these works



Pump System Upgrade	Completion October 2023	Condition and Net Zero	All DHW and CWS pumps replaced with modern energy efficient system. Works not commencing, funding bid issued for full heating and hot water system upgrades
External Cladding Clean	Completion summer 2024	Condition	External Aesthetics Not commencing due to funding bid in place for over cladding system.
LED lighting upgrade	1 <sup>st</sup> Phase completed summer 2024	Condition and Net Zero	All open spaces upgraded to LED lighting across both campuses. Ongoing with limited scope. Unable to obtain additional funding however the Estates team are doing some swap out, mainly in costa area.
Capital funding bid for energy efficiency grant	Submittal to Scot Gov by October 2023	Net Zero	Funding bid submitted to Scottish Governments Energy Efficiency Grant Scheme focussing on Heat in Buildings. Total requested £4.99m over 2 years.

### 3.2 Estates Planning

- 3.2.1 An update 5-year plan has been submitted based on revised priorities due to budget forecasts. This will be aligned with a reshape of digital priorities.
- 3.2.2 This has been discussed at SLT with the acceptance that works removed will be held and revisited should additional funding opportunities become available.
- 3.2.3 Please see appendix 1 outlining the updated plan.

### 3.3 Health and Safety Focus

- 3.3.1 H&S has been progressing well under the H&S advisor. The current focus has been on preparation for the Fire Risk Assessment visit in July, with Rachel currently working with all managers to review areas and assess any actions ahead of the visit. A pre visit has been held with the assessor and no major items had been noted, although some minor items are being worked on which included intumescent door strips on some doors for replacements.

3.3.2 The following will provide an update on progress on the H&S action plan to date:

	Action	Timescale	Owner	Status
1	Develop new H&S advisor role	January 2024	Director of Estates	Complete. Rachel Young in post from 8/1/2024
2	Refresh H&S committee including TOR/Membership and activities	February 2024	Director of Estates	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	Policies and Procedures now up to date – full tranche agreed at SLT on 21/02/2024
4	Review H&S training requirements and create H&S training plan	June 2024	H&S advisor	In progress – RY carrying out review – Some training covered within new H&S system
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	In progress
6	Source and implement a new COSHH system	December 2024	H&S advisor	In progress – COSHH Policy has been updated now and released to staff. Training has been devised for staff to complete ahead of completing the new HSE tool.
7	Implement a suitable H&S management system which provide live access to all staff	December 2024	Director of Estates/H&S Advisor	In Progress – This is now in the development stage with key staff inputting data to the system. A date of August 2024 has been agreed for launch to allow time to build and test prior to staff accessing the system.

3.3.3 By implementing the above noted actions the College H&S provision will become more accessible, streamlined, and modernised.

3.3.4 Already a more proactive approach is being seen across the College with positive feedback coming in regarding the introduction of the H&S advisor post.

### 3.5 Carbon Management

3.5.1 As highlighted in the Estates Update, a funding bid has been issued to Scottish Governments Energy Efficiency Grant Scheme. The bid focusses on the key Government priority of Heat in Buildings and consists of the following:

- Insulation. 2 workstreams, Over-cladding and floor slab insulation. This would provide an increased building insulation value, helping heat retention overall.
- Heating and hot water system. Move to heat pump solution for a combined system, removing the need for 5 x natural gas boiler system as current.
- Additional fabric. Looking at the main Dumfries entrance area and roller shutter doors. Both poor in terms of U value, this would look to upgrade to more efficient systems.

3.5.2 The overall ask was for £4.99m which would run over 2 years for the project. The funding, if successful, will cover all aspects including design, implementation, and project management.

3.5.3 Further meetings have been held with the SG team to discuss this project with an outcome expected in due course.

## 4. **Strategic Implications**

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

## 5. Risk

Risk	Mitigations
Risk 3 - Failure to achieve institutional sustainability	<ul style="list-style-type: none"> <li>➤ Utilising external funding to carry out improvement works</li> </ul>
Risk 10- Failure to achieve and effective student experience	<ul style="list-style-type: none"> <li>➤ Ensure suitable works are identified with L&amp;T colleagues aimed directly at enhancing the on-campus student experience</li> </ul>
Risk 12 – Failure to meet regulatory Health and Safety Obligations	<ul style="list-style-type: none"> <li>➤ Reporting and Review procedure including Near Miss</li> <li>➤ Health and Safety IOSH training for staff</li> <li>➤ Specific communication at time of increased risk eg Covid, building works, adverse weather</li> <li>➤ Clear channels of communication regarding issues and preventative actions.</li> </ul>

## 6. Implications

<b>Financial</b>	Yes	Continued investment required in estates projects each year to ensure building and facilities are kept in operational condition. External funding eases the pressure on College budgets in 23/24
<b>Legal</b>	Yes	The College must meet statutory requirements in terms of Estates provision.
<b>Learning and Teaching</b>	Yes	Estates provision directly affects the provision of high quality learning and teaching
<b>Equalities</b>	Yes	The College estate must always be suitable for all users.

**Billy Currie**

Director of Estates and Sustainability

2 May 2024

**Year 2 – 2024/25:**

Activity	Timescale	Cost	Budget	Category
Learning and Teaching Estate upgrade – Rooms to be agreed dependent on outcome of level 0 and year 1 works	Completion summer 2025	Budget £50k but dependant on outcome of level 0 rooms	College	Campus Experience
External metalwork painting - Dumfries Campus	Throughout 2024/25	£20k	College	Condition
Replacement of gas fired hot water boilers	April 2025	£85k	External Funding	Condition and Net Zero
LED Lighting	Ongoing throughout year	£35k	College	Condition and Net Zero
External cladding and insulation upgrade	Phase 1, potential 2/3 year work. Spring/Summer 25	£1.5m	External Funding	Net Zero

2024/25 Internal budget ask total £120k

The following items were on the original action plan and have been removed. These would be considered only if additional funding was to become available

Flooring – Level 0, Costa and Level 1 corridor	Phase 1 October 2024 Phase 2 April 2025	£25k	Condition
Toilet facilities upgrade – Phase 1	Summer 2025	£40k	Campus experience and condition
Stranraer Car Park Upgrade – Chargers and reline spaces	April 2025	£20k	Condition

**Year 3 - 2025/26**

Activity	Timescale	Cost	Budget	Category
Learning and Teaching estate upgrades and reconfiguration -To be agreed as part of curriculum planning	Summer 2026	Budget £50k	College	Campus Experience
Pump System Upgrade	Completion October 2026	£35k DWH £25k CWS	External Funding	Condition and Net Zero –
Flooring level 1 and level 2 corridors	Completed April 2026	£30k	College	Campus experience and condition
External cladding and insulation upgrade	Phase 2 works, spring/summer 26	£1.5m	External Funding	Net Zero

2025/26 internal budget ask £140k

The following items were on the original action plan and have been removed. These would be considered only if additional funding was to become available

Social Space upgrade	October 2025	£35k	Campus Experience
Redecoration – Level 1 Dumfries and First Floor Stranraer	Completed Summer 2026	£30k	Campus Experience and Condition
Toilet facilities upgrade – Phase 2	Completed summer 2026	£40k	Campus experience and condition

**Year 4: 2026/27**

Activity	Timescale	Cost	Previous Budget	Category
Learning and teaching estate upgrades – To be agreed as part of curriculum planning.	Summer 27	£50k	150k	Campus Experience
Redecoration, Level 0 and ground floor Stranraer	Completion Summer 27	£40k		Campus experience and Condition
Toilet Facilities Upgrade	Summer 27	£40k		Campus experience and Condition
Flooring upgrade – Stranraer level 1	April 27	£20k		Campus experience and Condition
Low carbon campus heating solution	Summer 27	£900k	External Funding	Net Zero

2026/27 internal budget ask £150k

**Year 5 – 2027/28**

Activity	Timescale	Cost	Budget	Category
Learning and teaching estate –	Completion summer 2028	£50k	College	Campus experience
Stranraer Campus – Window upgrade	Completion by summer 2028	£300k	External Funding	Net Zero and Condition
Net Zero Audit	Begin summer 2028	£50k	College	Net Zero
Campus Condition Survey Re-Assess	Begin Summer 2028	£30k	College	Condition

2027/28 internal budget ask £130k

<b>MEETING</b>	<b>Finance &amp; General Purposes Committee</b>
<b>Agenda Item:</b>	<b>6</b>
<b>Paper No:</b>	<b>FGP0524-6.2</b>

<b>Date</b>	16/05/2024
<b>Location</b>	MS Teams On-line
<b>Title of Paper</b>	Information Governance Group Update
<b>Presented By</b>	Joe McGraw
<b>Recommendation</b>	<b>Discussion</b>
<b>Appendix Attached</b>	NO
<b>Disclosable Under FOISA</b>	Yes

Read Time: 6 minutes.

**1. Recommendation**

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



## 2. Executive Summary

- 2.1 Since the last meeting 12 FOI requests have been received with around 3-4 requests being received per month and all responded to within the 20-day maximum period.
- 2.2 The annual review of Register of Processing Activity (ROPA) is now complete.
- 2.3 The annual self-assessment ICO tracker has been completed.
- 2.4 Following service disruptions in December and January, the external review of the ICT estate has been completed. No major issues were identified, but an action plan has been put in place to address the findings to reduce risks, enhance security, and improve the ICT infrastructure's overall health.

## 3. Context

### 3.1 Freedom of Information Requests

- 3.1.1 It was reported that since the last meeting 12 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.

### 3.2 Data Protection/GDPR

- 3.2.1 The Data Protection and Digital Information (No.2) Bill is now at Grand committee stage within the House of Lords. The Data Protection Team continue to monitor progress and will provide updates, once fully known.
- 3.2.2 The GDPR audit conducted in December 2023 found the College well placed in data protection activities with only 1 medium and 5 low risks identified. We have now completed 5 out of the 6 actions with the final part being completed and on schedule.
- 3.2.3 Our annual review of Register of Processing Activity (ROPA) has now been completed with amendments and updates made accordingly.

### 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 In the period since February 2024 there have been 4 incidents, all classed low or very low. College staff responded well in each situation and breach reports were completed.

### 3.5 Staff Training

- 3.5.1 Data protection training for managers was delivered by the DPO in February and March (26 attendees in total). A module of interactive presentation is now available for the remaining managers unable to attend the previous dates to complete via LearnNet. This will be monitored by HR until completion, due by the end of May 2024. This online training will be made available as part of a manager's induction for new starters going forward.

**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 been updating data protection policies and procedures and making them available to staff. The following document has now been issued under document control and is available within the Performance Section of AdminNet:

- Freedom of Information requests procedure

**3.8 Cyber Update**

3.8.1 Since the previous meeting, three suspicious email cyber campaigns were successfully contained. Precautions were applied for 7 days for additional monitoring and external institutions had been informed. No other cyber issues to report since the last meeting.

3.8.2 Following service interruptions in December and January an external supplier was approached to scrutinise the ICT estate and propose a strategy for future ICT developments. The examination focused on infrastructure evaluation, security audits, data management, and user access and authentication.

3.8.3 No major risks were identified, but an action plan has been put in place to address the findings to reduce risks, enhance security, and improve the ICT infrastructure's overall health. Most actions have been simply resolved in-house. There is some external support required regarding VMWare, which is now in the process of being arranged. The remaining items are regarding configuration and new upgrades for Microsoft 365 licences and server 2022 licensing for that purchase orders have been awarded. Any disruptive work will be undertaken during quite periods.

**3.9 Accountability Tracker update – annual review**

3.9.1 The ICO Accountability Framework is a self-assessment tracker and includes 10 elements:

- Leadership and oversight
- Policies and procedures
- Training and awareness
- Transparency
- Individual's rights
- ROPA and lawful basis
- Contracts and data sharing
- Risks and DPIA's
- Records management and security
- Breach response and monitoring

**3.9.2 Areas of good practice/progress:**

- Reviewing and updating policies and procedures to ensure that they are up to date.
- Implementation of procedures for data sharing and data sharing agreements
- Training – induction/refresher and for managers
- Publication of news items on AdminNet
- Additional privacy notices written and published as necessary
- Supporting practice improvements based on personal data breaches and incidents
- Advise function for data protection matters arising within the College
- Maintaining compliance with statutory response times for data protection rights request and data breach reporting compliance

**3.9.3 Next steps:**

- Development of new retention policy and combined schedule
- Continue delivery of training and maintenance of AdminNet data protection and FOISA information
- Annual update of Record of processing activity (recently completed)
- Support for developing guidance for key staff and teams
- Ongoing activity to answer data protection rights requests and third-party request
- Management of incidents and breaches to learn lessons and support practice improvement
- Continue management reporting to ICH and G&GP Committee

**4. Strategic Implications**

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

**5. Risk**

Risk	Mitigations
Penalties or enforcement action by the ICO, reputational damage, litigation	<ul style="list-style-type: none"> <li>➤ Strong data protection framework in place</li> <li>➤ Technical and organisational controls</li> <li>➤ Strong incident response focused on containment, mitigation, and learning lessons from incidents</li> </ul>

Risk	Mitigations
11 – Failure to achieve and maintain systems and operable and secure ICT	<ul style="list-style-type: none"> <li>➤ Documented disaster recovery procedures.</li> <li>➤ Cyber Incident disaster recovery plan and training.</li> <li>➤ Staff CPD on business continuity areas including Cyber security.</li> <li>➤ Firewalls and antivirus software in place.</li> <li>➤ Regular internal review of security measures and action around areas of concern</li> <li>➤ Regular cyber/phishing exercises.</li> <li>➤ CISO (Chief Information Security Officer) service in place through HEFESTIS.</li> </ul>

**6. Implications**

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

**Joe McGraw**

Vice Principal People & Transformation

29 April 2024