

# BOARD OF MANAGEMENT

## Human Resources and Development Committee



Thursday 14 November 2019 at 5.00pm  
Room A214, Kingsway Campus

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### AGENDA

1. WELCOME
2. APOLOGIES
3. ESRC RESEARCH PROJECT – INFORMED CONSENT Paper A for information
4. DECLARATIONS OF INTEREST
5. MINUTE OF THE PREVIOUS MEETING – 19 September 2019 Paper B for approval
6. MATTERS ARISING
7. RESTRUCTURE EQUALITIES ANALYSIS Paper C for information ST
8. POST RESTRUCTURE LEADERSHIP DEVELOPMENT Paper D for discussion AM/SH
9. VP PEOPLE AND PERFORMANCE REPORT Paper E for information ST
10. NATIONAL BARGAINING UPDATE Verbal update GR/ST
11. STRATEGIC RISK REGISTER Paper F for approval ST
12. HR METRICS Paper G for information ST
13. MEETING MINUTES/UPDATES Paper H for noting
  - Joint Consultation & Negotiation Forum
14. DATE OF NEXT MEETING – Thursday 20 February 2020



**Human Resources and Development Committee**

**Thursday 14 November 2019**

**PAPER A**

**ESRC Research Project – Informed Consent**

## Processes and practices of governing in FE colleges in the UK

### Note to Board of Management to ensure ongoing informed consent

Dundee and Angus College is one of a select number of colleges participating in a four nations study of the processes and practices of governing in FE colleges. Funded by the Economic and Social Research Council (ESRC), this project is led by a team of highly regarded and experienced investigators from the Universities of Stirling, Birmingham and Cardiff (further details available on the project website <https://fe-governing.stir.ac.uk/>).

The main focus of the study is to observe and video meetings of the College Board of Management held between January and December 2019. In addition, a select number of committee meetings may be observed, but not recorded. Observational studies of governing bodies, whether in the public or the corporate sphere, are rare so by agreeing to have your board meetings videoed you are supporting leading-edge research in this area.

In order to be funded, the research has been through a highly rigorous process of review by the ESRC. It has also been closely assessed and approved by research ethics committees at the three universities. Working to the highest ethical standards, the researchers will ensure that confidentiality is maintained, that sensitive information is not shared, and that individuals are not identifiable (unless they have explicitly agreed otherwise) in any communications, presentations or publications. Furthermore, all data will be deleted within a year of the project ending.

All participants in the meetings that are videoed and/or observed are required to complete a participant consent form to confirm that they understand the nature of the research and are aware of their right to withdraw (and have any contributions disregarded) at any time without consequence. They are also encouraged to speak to a member of the research team should they have any questions or concerns. The contacts for Scotland are Dr Helen Young, Research Fellow (01786 467748, [h.l.young@stir.ac.uk](mailto:h.l.young@stir.ac.uk)) and Professor Cate Watson, Principal Investigator (01786 467626 [cate.watson@stir.ac.uk](mailto:cate.watson@stir.ac.uk)).



UNIVERSITY OF  
BIRMINGHAM



**Human Resources and Development Committee**

**Thursday 14 November 2019**

**PAPER B**

**Minute of the Previous Meeting – 19 September 2019**

# BOARD OF MANAGEMENT



## Human Resources and Development Committee Thursday 19 September 2019

Draft confirmed by Chair

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**Minute of the Human Resources and Development Committee meeting held on Thursday  
19 September 2019 at 5.00pm in Room A214, Kingsway Campus.**

**PRESENT:** G Bisset K Keay  
D McKenzie G Ritchie  
P Milne

**IN ATTENDANCE:** S Taylor (Vice Principal) B Grace (Head of Estates)  
Megan Sanderson (Executive Secretary)

**1. WELCOME**

P Milne welcomed members to the meeting.

**2. APOLOGIES**

Apologies received from D Fordyce, T Pirie, B Carmichael, S Hewitt, J Carnegie, and A Mawhirt.

**3. DECLARATIONS OF INTEREST**

There were no declarations of interest.

**4. ESRC RESEARCH PROJECT – INFORMED CONSENT**

Board Members and those in attendance at meetings have completed the ESRC Consent Forms.

Filming for the ESRC Project will be limited to BOM Meeting with the videos being used for the purpose of research then destroyed. The videos will not be made public.

**5. MINUTE OF PREVIOUS MEETING**

The minute of the meeting held on 9 May 2019 was approved as an accurate record.

**6. MATTERS ARISING**

S Taylor noted that the equalities summary would be produced once appointment to all of the restructure roles had been completed. It was agreed that (rather than wait for a meeting) this would be circulated to the Committee when available. **S Taylor to progress.**

## 7. POST RESTRUCTURE CPD AND SUPPORT PLANS

S Taylor provided a summary of the paper to the Committee, highlighting the post restructure CPD plans in place to support the development needs of newly appointed staff.

S Taylor noted that an initial development session took place in June, to identify the needs of new post holders and develop the 'D&A way'. It was noted that elements of the CPD plan would be mandatory for different staff in different roles.

S Taylor noted that the staff group had been involved in developing the range of activity for CPD and outlined plans for the delivery of this through a mixture of information, online learning, development sessions etc. S Taylor highlighted that a further development session for Managers had been arranged for October. S Taylor confirmed that the development plan included College decided elements plus staff elements.

S Taylor noted that it was likely that the CPD plans would run over an 18 month period, with the opportunity for any staff across the College to be involved in development (not just newly appointed or promoted staff).

G Ritchie noted that a benefit of the restructure was that line managers now had more manageable sized teams and would be able to conduct more regular one to one meetings with staff. The importance of regular development reviews was discussed and it was confirmed that these were a core part of the role of all line managers.

G Bisset asked if the restructure had affected employee relationships. G Ritchie noted that some staff were unhappy with the changes and with the outcome of applications for roles, but stated that others were happy with the changes and appointments made. G Ritchie noted that, as expected with a major change of this type, there were still areas of upset and challenge but that there were also positive relationships with unions and there was a positive response from the all staff event in August.

D McKenzie asked how newly appointed staff would be mentored. G Ritchie confirmed there is an internal mentoring system with S Taylor noting that the Head of Sector postholders were all experienced managers and were providing support to new managers. It was noted that each Head of Sector had also assumed responsibility to support a cross-college element of activity.

P Milne asked what information the Committee would like as arrangements progressed. G Bissett stated that a regular verbal update would be welcomed. This was agreed. K Keay asked that the completion rate for development reviews be included as one of the HR Metrics. This would be investigated and incorporated. **A Mawhirt to progress.**

P Milne welcomed the paper provided to the Committee and the developments taking place.

## 8. VP PEOPLE AND PERFORMANCE REPORT

S Taylor summarised the report for discussion, highlighting the outcomes of the recent VS scheme. G Bissett asked if the VS scheme would remain open. S Taylor confirmed that this was likely, however they can only accept applications where staff are not to be replaced. S Taylor noted that the current scheme was approved through to 31 December and that it was likely that the College would seek an extension on the scheme from SFC.

S Taylor noted that with the Good to Great project ending in December, the College have been working over the summer how to sustain the Wellbeing Project, with key proposals included in the report.

G Bisset asked if the plan to pay four years of conserved pay up front had been agreed. S Taylor noted that the unions did not agree with the proposal and as a result the offer was not possible.

Developments in national job evaluation were discussed and K Keay asked if more resources had been made available nationally given the extension to timescales. S Taylor confirmed that no more resources had been made available.

P Milne asked how new or updated posts were being evaluated now, given the national Job Evaluation process. S Taylor confirmed that the College were still using the Northgate system for this. K Keay asked if risks around job evaluation were included on the Risk Register, S Taylor confirmed that these were covered by the national bargaining risks.

P Milne noted the Committee welcomed the report and recognised that a huge amount of credit should go to the team for their hard work.

## **9. NATIONAL BARGAINING UPDATE**

G Ritchie provided an update on National Bargaining, confirming discussions were progressing around the Transfer to Permanency arrangements. It was noted that these were complex and that initial offers had been progressed, with further discussions to be held with the local unions.

G Ritchie noted that national progress in respect of Job Evaluation was slow and that the job scoring process could not progress until all Job Evaluation forms were complete. It was noted that nationally the completion rate was only around 50%. D&A had submitted virtually all of theirs, with fewer than 10 queries remaining.

The outcomes of the academic negotiations were discussed and it was noted that settlement had been reached for both academic and support staff through to September 2020. P Milne asked if there was any further industrial action on the horizon. S Taylor noted that thankfully there was not.

## **10. HEALTH AND SAFETY ANNUAL REPORT**

B Grace outlined the key points of the report and noted that over 90% of staff had completed their online health and safety training as required. B Grace noted that the Modern Apprentice for Marketing had created an excellent online module for working safely courses.

B Grace noted that the LOCHER Project continued to develop and A Cathro had received positive feedback on this from both staff and students.

B Grace stated there had been a slight increase in the accident rate, but nothing that was a cause for concern. G Bissett asked about arrangements to minimise accidents and injuries to students at the start of their learning particularly in kitchens, construction workshops etc. B Grace explained that risk assessments for this were all in place and students had a thorough induction before they start. S Taylor noted that all practical units include a health and safety section in respect of relevant risks and requirements as an early part of the learning process.

P Milne asked if metrics were in place for managers to view performance targets for their staff to carry out their training. S Taylor noted that managers would be able to see if their staff had completed mandatory online training and would pick this up as appropriate.

K Keay asked about arrangements for recording incidents/near misses. B Grace confirmed that these were in place and it was agreed that near miss reporting be specifically included in future reports. **B Grace to progress.**

P Milne noted that it would be useful for the report to be shared with all Board members and discussed at a full Board of management meeting. S Taylor noted that some aspects of Health and Safety are shown in the Board of Management metrics. This was discussed and it was agreed to share the 2019 report with the Board for information and to include this report as a Board item in future years. **B Grace/S Taylor to progress.**

## **11. STRATEGIC RISK REGISTER & RISK DELEGATION TO BOARD COMMITTEES**

P Milne highlighted the Risk Register paper with S Taylor noting that the changes were proposed to ensure that each Committee had better ownership and insight to Risks. G Bissett noted it was reasonable to have Committees look at own risks.

S Taylor noted that in accepting this role the Committee should consider whether the reports that it received over the year provided them with sufficient information to form a view on the risks and, correspondingly, whether or not additional information was needed.

It was noted that, to support these arrangements, the dates for future Audit and Risk Committee meetings should be updated so that these were the final meetings in the run up to the Board. This would be raised with the Chair of audit & Risk. **S Taylor to progress.**

K Keay welcomed the devolution of review and noted that she was also keen to know how the internal operational risk register operated and how this matched up to the Strategic Risk Register that the Board of Management saw. K Keay stated that she was also keen to understand how this worked and asked who updated the Strategic Risk Register and what training they had had. S Taylor noted that he updated the Register, which was then reviewed by the Senior Leadership Team in the run up to each Audit and Risk Committee. S Taylor summarised his training and experience around risk management and noted that others on the Senior Team would have a mixed range of expertise. G Ritchie added that training for new members of the Executive Team was something he would look at.

Individual risks were discussed, and P Milne noted that 1.1 on the Risk Register would include a significant element of staff input and development, but was not considered by the HR&D Committee. S Taylor noted that there were challenges with this in respect of all of the risks, as the register needed to be looked at holistically. It was noted that risk 1.1 could sit under the HRDC as well as the LTQC, but that duplication of oversight was trying to be avoided.

K Keay highlighted that the risk around the restructure was not included in the Risk Register. It was agreed that this be added. **S Taylor to progress.**

## **12. HR METRICS**

S Taylor provided a summary of the metrics presented, highlighting that these were getting out of date as the 2018/19 data was nearing completion but was not yet available.

S Taylor highlighted that staff absence had increased but was still below the national average.

G Bissett highlighted that under the absence report, it should be displayed as 12 months instead of 12 years. This would be updated.

## **13. MEETING MINUTES/UPDATES**

The minutes of the Joint Consultation Forum and Health, Safety and Wellbeing Committee were noted with interest.



#### 14. DATE OF NEXT MEETING

The next Human Resources and Development Committee meeting will take place on Thursday 14 November 2019.

#### **Action Point Summary**

| <b>Action</b>  | <b>Responsibility</b> | <b>Date</b>       |
|--|-----------------------|-------------------|
| Equalities summary report on restructure changes to be updated and circulated before next meeting. | S Taylor              | 14 November 2019  |
| Completion of Development Reviews to be considered as an HR metric                                 | A Mawhirt             | 14 November 2019  |
| Near Miss reporting to be included in annual Health, Safety and Wellbeing Annual report.           | B Grace               | September 2020    |
| 2019 Health and Safety annual report to be circulated to all Board members                         | S Taylor              | 30 September 2019 |
| Health, Safety and Wellbeing Annual report to be presented and discussed at future Board meetings  | S Taylor/B Grace      | September 2020    |
| Meeting dates for Audit & Risk Committee to be reviewed  | S Taylor              | 26 November 2019  |



## **Human Resources and Development Committee**

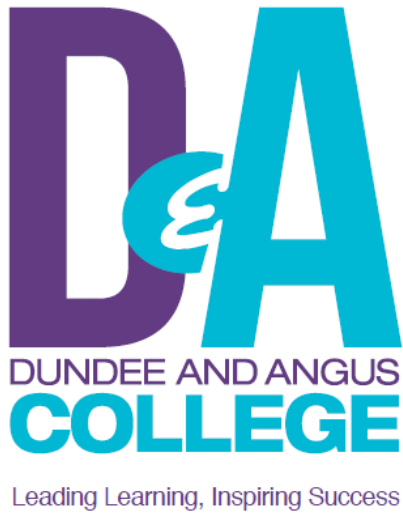
**Thursday 14 November 2019**

### **PAPER C**

#### **Restructure Equalities Analysis**

Information in this report is intended to provide Board members with reassurance that actions and activities are being progressed and addressed that support the mitigation of a range of risks identified within the Strategic Risk Register namely;

- 3.3 – Legal actions; serious accident; incident or civil/criminal breach
- 3.4 – failure to meet aspirational standards in respect of the health, safety, wellbeing and development of staff and students



# Equalities Characteristics – Promoted Academic Staff 2018/19 v 2019/20

November 2019

Business Intelligence

## Introduction

This reports details the breakdown of Promoted Academic Staff by the following protected characteristics, and compares these between session 2018/19 and 2019/20. Note that there is one vacant post at the time of writing which accounts for 1.4% of the 2019/20 promoted academic headcount.

## Gender

| Percentage of Promoted Ac Staff | Session       |               |
|---------------------------------|---------------|---------------|
| Gender                          | 2018/19       | 2019/20       |
| a. Female                       | 54.3%         | 57.1%         |
| b. Male                         | 45.7%         | 41.4%         |
| N/A                             | 0.0%          | 1.4%          |
| <b>Grand Total</b>              | <b>100.0%</b> | <b>100.0%</b> |

The proportion of Female promoted academic staff has increased from 54.3% to 57.1%.

## Age Group (as per Equalities Mainstreaming reporting)

| Percentage of Promoted Ac Staff | Session       |               |
|---------------------------------|---------------|---------------|
| Age Group                       | 2018/19       | 2019/20       |
| a. up to 35                     | 7.1%          | 8.6%          |
| b. 36 to 50                     | 48.6%         | 64.3%         |
| c. 51 to 60                     | 41.4%         | 25.7%         |
| d. over 60                      | 2.9%          | 0.0%          |
| e. Unknown                      | 0.0%          | 1.4%          |
| <b>Grand Total</b>              | <b>100.0%</b> | <b>100.0%</b> |

The proportions of promoted academic staff in age ranges “up to 35” and “36 to 50” has increased significantly, from a combined proportion of 55.7% to 72.9%. The bulk of this increase has occurred in the 36 to 50 age group with an increase of 22.9 percentage points between 2018/19 and 2019/20.

Conversely, the proportion of staff in the 51 to 60 age group has fallen by almost 16 percentage points while there are now no (permanent) staff members in the over 60 group (fallen from 2.9%).

### Ethnicity

| Percentage of Promoted Ac Staff<br>Ethnicity | Session       |               |
|--|---------------|---------------|
|  | 2018/19       | 2019/20       |
| Unknown                                      | 41.4%         | 44.3%         |
| Non BME                                      | 55.7%         | 54.3%         |
| BME  | 2.9%          | 1.4%          |
| <b>Grand Total</b>                           | <b>100.0%</b> | <b>100.0%</b> |

With over 40% of staff in this group with unknown Ethnicity, it is difficult to draw a conclusion from the data above. It does show that the percentage of disclosed members with BME ethnicity has halved (from 2 members of staff to 1).

### Disability

| Percentage of Promoted Ac Staff<br>Disability | Session       |               |
|---|---------------|---------------|
|   | 2018/19       | 2019/20       |
| None  | 37.1%         | 41.4%         |
| Unknown                                       | 62.9%         | 58.6%         |
| <b>Grand Total</b>                            | <b>100.0%</b> | <b>100.0%</b> |

The majority of staff in this group, in both sessions have not disclosed their disability status. Among those who have, none have declared that they have a disability, in either session.

### Religion

| Percentage of Promoted Ac Staff<br>Religion | Session       |               |
|---|---------------|---------------|
|   | 2018/19       | 2019/20       |
| Church of Scotland                          | 22.9%         | 15.7%         |
| Muslim                                      | 1.4%          | 0.0%          |
| None  | 1.4%          | 8.6%          |
| Other Religion (please give details)        | 7.1%          | 7.1%          |
| Unknown                                     | 67.1%         | 68.6%         |
| <b>Grand Total</b>                          | <b>100.0%</b> | <b>100.0%</b> |

The religion of the majority of staff in this group is unknown, therefore any changes from one session to the next are statistically insignificant and unreliable,



**Human Resources and Development Committee**

**Thursday 14 November 2019**

**PAPER D**

**Post Restructure Leadership Development**

# BOARD OF MANAGEMENT

## Human Resources and Development Committee Thursday 14 November 2019



### Leadership Development Report

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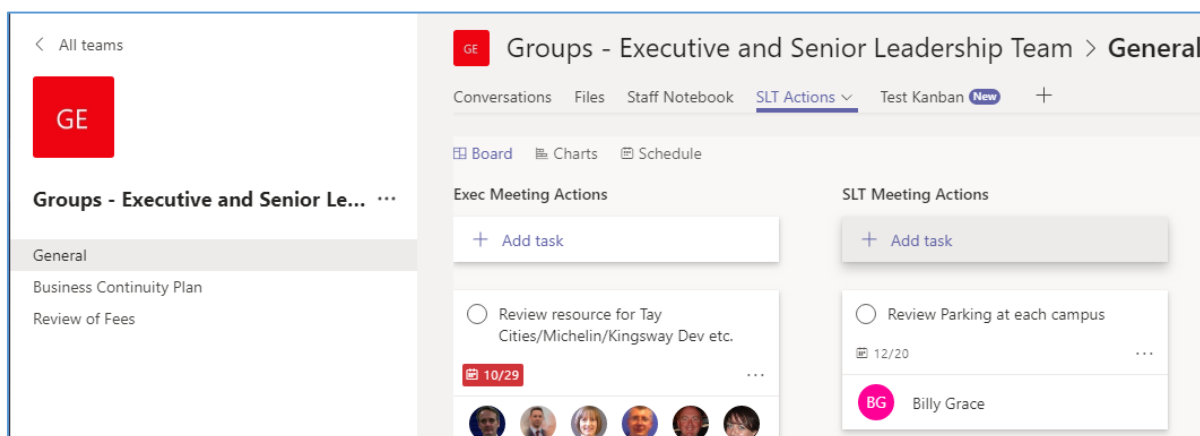
#### *Paper for discussion*

#### 1. Background

As part of the academic restructure, a review and refresh of leadership development has been undertaken to ensure messaging, training and development are both aspirational and congruent. This included reviewing existing leadership development options and arrangements, culminating in a refreshed approach.

#### 2. Senior Leadership Team

During 2019, the Senior Leadership Team have made a number of changes to improve ways of working and communication. Adoption of Microsoft Teams has developed from a place to share information to the central platform for the team to connect, agree priorities and share meeting notes and actions. As SLT work across campuses, this central, online tool has supported access to information and quick communication.



As part of the review of meeting structures and effectiveness, the SLT developed 'the SLT way' to mirror the approach of the 'D&A Way', committing to behaviours and approaches. A key part of this has been the agreement to undertake Hands-on Agile for Leaders training through the Scottish Digital Academy.

#### 3. Hands-on Agile for Leaders

Having worked with service design approaches for some time, exploring agile tools seemed a logical next step for D&A. At an intensive, three-day training course, the SLT considered agile approaches to enhance identification of priorities, improve articulation of problems and

solutions, enhance delegation and improve delivery time for outcomes. The SLT have since committed to trialling:

- Stand Ups
- Kanban Boards
- Statements of Intent
- User Stories
- Delegation Board
- Cynefin categorising

Whilst Scrums and Sprints are commonly associated with the agile approach, the type of projects and work they add most value to will require further consideration at D&A. The other approaches listed above were agreed to bring almost immediate value and therefore will be prioritised and trialled both with SLT as a team, but also respective departments.



[Delegation Board video link](#)

#### 4. The D&A Way

The D&A Way is based on the College's five values and draws together the behaviours, approach and culture that makes D&A what it is. The three C's of the D&A Way were developed in conjunction with feedback from leaders in terms of their challenges and aspirations:



The D&A Way has developed through input of leaders at Leadership Development Forum.



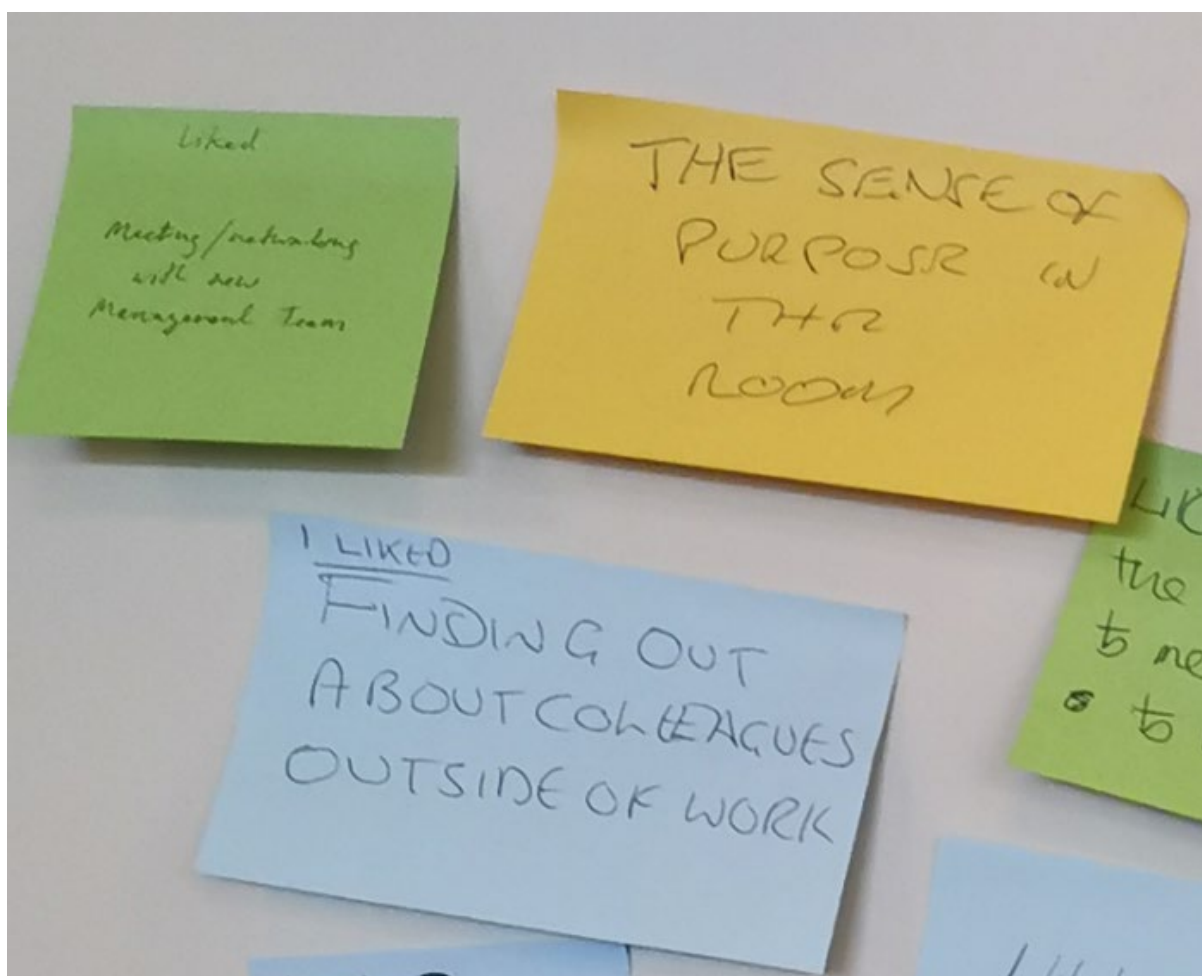
## 5. Leadership Development Forum

Leadership Development Forum (LDF) replaced Management Forum in 2015, taking what was an information download session of updates and shifting the focus to be about proactive leadership development.

LDF comprises of the Senior Leadership Team, Heads of Sector and curriculum department Heads of Curriculum and Quality, along with heads of Support departments. LDF has met twice following the academic restructure, firstly on 19 June and for the second time on 02 October.

At the first LDF, a number of icebreaker activities were undertaken to support the 'forming' stage of group development, with only a couple of academic roles still to be appointed at that time. The College's vision and values were presented and the group then considered their personal brand and values through a range of exercises. Practical sessions focused on current challenges and the support that would be required at the start of session.

By using the service design approach of exit feedback, immediate input on the benefits of the session could be reviewed, and the following session planned accordingly. Between the exit feedback and task output from the 19 June session, the agenda for the 02 October was developed and the three C's of the D&A Way confirmed.



On 02 October, LDF focused on understanding and developing the behaviours and attributes associated with the three 3's of Communication, Collaboration and Culture. The attendees also fed in to the post-restructure CPD Programme through a cooperative learning exercise,

and attended practical workshops on Development Reviews, employee relations and disaster recovery.

The next LDF is planned for January and will once again take forward work from the previous session. The feedback and ideas around the three C's will form an updated and revamped Leadership Excellence Framework-style 'D&A Leadership Way' and further feedback on CPD and development topics will continue to be sought.



## 6. Resources and Support

The CPD Programme currently in development - and in some areas piloting - is a key source of user-generated development and broad-based in terms of content. This will be reviewed and amended on an ongoing basis to ensure relevant and accessible development exists across the wide range of College functions.

In addition, the approach to coaching and Development Reviews at D&A has been launched to support leaders having excellent conversations and develop both their own skills and those of their teams. The resources available include online courses, templates and toolkits, as well as face to face support from the Organisational Development team.

## 7. Summary

A wide range of leadership development is both ongoing and planned, with all leaders participating regardless of seniority. CPD and development opportunities are tackling big questions and themes around both *what* we do and *how* we do it, embracing new methodologies and approaches such as agile. This is helping the full leadership team prepare for working effectively together in the post-Good to Great era, supporting our new strategy.

User feedback has formed a significant and key element of the Leadership Development Forum's focus, as well as the CPD Programme. The remaining LDF sessions this academic year will continue to build on this, ensuring leaders know and understand one another, communicating and collaborating effectively, all for the collective development of the D&A culture. That's the D&A Way.



## 8. Link to Strategic Risk Register

Information in this report is intended to provide Board members with reassurance that actions and activities are being progressed and addressed that support the mitigation of a range of risks identified within the Strategic Risk Register namely;

- 2.2 – Failure to achieve institutional sustainability
- 3.1 – Failure to reach aspirational standards in learning, teaching and service delivery
- 3.3 – Legal actions; serious accident; incident or civil/criminal breach
- 3.4 – Failure to meet aspirational standards in respect of the health, safety, wellbeing and development of staff and students
- 3.7 – Industrial Relations problems (including industrial action)

**Author:** Abi Mawhirt, Head of People and Organisational Development  
**Executive Sponsor:** Steve Taylor, Vice Principal People and Performance



**Human Resources and Development Committee**

**Thursday 14 November 2019**

**PAPER E**

**VP People and Performance Report**

# BOARD OF MANAGEMENT

## Human Resources and Development Committee Thursday 14 November 2019



### VP People and Performance Report

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#### *Paper for information*

#### **1. Voluntary Severance Scheme**

The current Voluntary Severance Scheme closed on 27 June 2019, a total of 30 applications were received (16 academic, 14 Support). From these applications, 10 have been approved (6 academic and 4 support) and 19 declined with 1 awaiting final consideration.

The current Voluntary Severance Scheme is approved by the Scottish Funding Council through to 31 December 2019. Given ongoing 'flat cash' funding it is anticipated that this scheme will be required in future years and authority will be sought at the December 2019 Board of Management meeting to seek further approval for the scheme through until December 2021.

It is proposed that the terms of the scheme remain consistent with those currently in place, with the exception of changes required as a result of the introduction of a cap on the maximum value of severance payments at £95,000 through the Scottish Government Severance Policy for Scotland.

#### **2. National Bargaining**

As reported at the September 2019 meeting, arrangements are progressing slowly to implement the 'Transfer to Permanency' arrangements that will move any temporary staff with two years' service onto a permanent guaranteed hour's contract.

Nationally, Abi Mawhirt and Christine Calder continue to support the working group progressing Lecturer Professional Registration, led by GTCS. Work continues to progress on this front with the sub working groups dealing with qualifications and registration.

#### **3. National Job Evaluation**

Arrangements continue to progress in respect of the national job evaluation project for support roles. This has been a major exercise for the People Team, local trade union representatives and all individual support staff.

The College has submitted the required information for this exercise apart from 4 roles (from 158) impacted by long-term absence etc.

#### **4. Celeste Mackie (HR Team Leader)**

Following nearly three years in the role of HR Team Leader, Celeste Mackie will retire from the People Team in mid December. During her time at the College Celeste has covered a wide range of generalist HR activities, including picking up a range on employee relations, absence and related work and more recently progressing the work underpinning the national job evaluation project.

Our very best wishes go with Celeste as she further develops her skills and knowledge in mediation, support and alternative therapies en route to new adventures.

#### **5. Promoting Equalities #DAequallyskilled**

As one of our public sector equality duties, the College has a statutory duty under the Equalities Act to foster good relations between people with different protected characteristics. This duty is further strengthened by requirements arising through gender action planning and the national widening access agenda to influence changes in awareness and behaviours by tackling stereotypes and promoting positive role models.

As a part of an equalities project being taken forward by Amy Monks (Student Vice President for Arbroath) the College will make greater use of social media to promote equalities, and adopt and promote the use of a single hashtag for equalities activities, projects and promotion.

From ideas developed by Amy, and with input from the People and Marketing teams, it has been agreed that the hashtag to be used is:

#### **#DAequallyskilled**

Equally skilled is about promoting the skills and abilities of our learners, irrespective of protected characteristic or stereotyping. This will be used alongside other College hashtags and will also be used with extra hashtags to link to individual protected characteristics e.g. #DAequallyskilled #gender #LGBTi.

The group were positive about the link between equality and skills development that this promotes.

The Students' Association have begun to use #DAequallyskilled in their social media to promote positive equality examples, and Amy has undertaken to draw up a plan to promote this on a week by week basis throughout the remainder of the academic year.

This hashtag has also been shared with all teams (academic and support) and staff have been encouraged to use this in their social media to promote equalities activities, images and work as opportunities arise.

#### **6. Safeguarding Awareness**

In line with the recommendations arising from an internal audit in May 2019 in respect of the College's Duty of Care responsibilities a series of simple promotional posters, leaflets and digital banners have been produced to summarise these responsibilities and highlight information/reporting routes. A copy of this information is enclosed as Appendix A.



**D&A**  
DUNDEE AND ANGUS  
COLLEGE

For further information or to pass on details, please contact:

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**Wendy Russell** (Student Services Team Leader)  
Arbroath Campus and Learning Centres  
01241 432703  
@ w.russell@dundeeandangus.ac.uk

**Protect Parent Prevent**

Safeguarding the  
**D&A College Community**

## 7. Wellbeing Project

The Good to Great Wellbeing project is in its final stages, with the Group Tutor toolkit ready for soft launch and train the trainer resilience training scheduled. Further roll out of mental health training will take place in semester 2, along with an in-house 'working smart' training package to support productivity.

## 8. Hands-on Agile for Leaders

The Senior Leadership Team undertook agile approach training from 28 to 30 October, with the purpose being to understand agile tools and review how these could enhance ways of working and service delivery at D&A. Further information is provided in the Leadership paper.

## 9. Mandatory Training Matrixes

Work has been underway to review and update our mandatory training matrixes in light of the restructure and ongoing training requirements updates. As a result, training matrixes for all staff have been refreshed and posted on the Portal, and a new training provider has been sourced for online training to add to the suite of all-staff governance related training:

- Health and Safety
- Data Protection
- Safeguarding / Duty of Care
- Equality and Diversity

## 10. Development Reviews

Following development at the end of last session, the College's Development Reviews framework and toolkit are now live and in use. A range of materials are available to support these annual development conversations, which were launched with managers at Leadership Development Forum on 2<sup>nd</sup> October.

# Development Reviews

Dashboard

Development Links

Introduction to Development Reviews

Great Conversations

The College Values

Annual Development Review Template

Monthly One to One Template

More Resources

**Development Reviews set annual goals for growth and development.**  
Development Reviews are D&A's one to one development, support and supervision conversations which provide an opportunity to have a conversation about how things are going at work and sometimes outside of work too.

Development Reviews are supported by a toolkit that includes templates, question banks, tools and tips that can be accessed as and when required. The support is designed to help you have these conversations, both formal and informal.

**Why do I need to do a Development Review?**  
To really be productive and happy, you need to know how you are performing and how you can develop. Having great conversations through the Development Review process is key to relationship building, as well as providing feedback to support development, productivity and wellbeing. When you are happy and productive, the College is achieving its goals, which means students are having great learning experiences.

## 11. Link to Strategic Risk Register

Information in this report is intended to provide Board members with reassurance that actions and activities are being progressed and addressed that support the mitigation of a range of risks identified within the Strategic Risk Register namely;

- 2.2 – failure to achieve institutional sustainability
- 3.1 – failure to reach aspirational standards in learning, teaching and service delivery
- 3.3 – Legal actions; serious accident; incident or civil/criminal breach
- 3.4 – failure to meet aspirational standards in respect of the health, safety, wellbeing and development of staff and students
- 3.9 – failure to meet PREVENT and related obligations

## 12. Further Information

Further information in respect of HR&OD matters is available for Board members by contacting Steve Taylor, Vice Principal People & Performance:  
[s.taylor@dundeeandangus.ac.uk](mailto:s.taylor@dundeeandangus.ac.uk).

**Author:** Steve Taylor, Vice Principal People and Performance / Abi Mawhirt, Head of People and Organisational Development  
**Executive Sponsor:** Steve Taylor, Vice Principal People and Performance



# Safeguarding the D&A College Community

## Protect

D&A College is committed to the protection and safeguarding of children, young people and adults at risk, and any member of staff may have concerns of this type raised with them.

## Parent

Recognise that young people with Care Experience will have faced additional challenges and barriers. As staff we should take this in to consideration to assist students to find the best path to progress, achieve and complete their learning.

## Prevent

D&A College is one of many organisations with a range of responsibilities under the counter terrorism legislation. First and foremost, however, this is a safeguarding issue.

For further information or to pass on details, please contact:

**Sarah Thom** (Student Services Manager)  
Arbroath **01241 432705**  
Gardyne **01382 834940**  
[s.thom@dundeeandangus.ac.uk](mailto:s.thom@dundeeandangus.ac.uk)

**Bryan Leonard** (Student Services Team Leader)  
Gardyne Campus  
**01382 834862**  
[b.leonard@dundeeandangus.ac.uk](mailto:b.leonard@dundeeandangus.ac.uk)

**Rona Jack** (Student Services Team Leader)  
Kingsway Campus  
**01382 83482**  
[r.jack@dundeeandangus.ac.uk](mailto:r.jack@dundeeandangus.ac.uk)

**Wendy Russell** (Student Services Team Leader)  
Arbroath Campus and Learning Centres  
**01241 432703**  
[w.russell@dundeeandangus.ac.uk](mailto:w.russell@dundeeandangus.ac.uk)

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**Protect  
Parent  
Prevent**

**Safeguarding the  
D&A College Community**



## Protect@D&A

**D&A College is committed to the protection and safeguarding of children, young people and adults at risk, and any member of staff may have concerns of this type raised with them. If you have concerns about any safeguarding issue you should:**

Be aware of your responsibilities.

Allow the individual raising the concerns to speak, and listen to what is being said.

Advise that you cannot keep information disclosed confidential if you feel that there is a need to pass this on.

Record the facts and pass these on as soon as possible to Sarah Thom, or one of the Student Services Team Leaders.

Avoid investigating the issues - you can do more harm than good.

## Parenting – WeCare@D&A

**D&A College is a proud corporate parent and is here to support care leavers and care experienced young people. As a member of staff you should.**

Understand and support our WeCare@D&A responsibilities and aspirations.

Recognise that young people with Care Experience will have faced additional challenges and barriers. As staff we should take this in to consideration to assist students to find the best path to progress, achieve and complete their learning with us.

Be aware of that some of our care experienced students will not ask for support - but that doesn't mean they don't need support. Work closely with Student Services to ensure we offer personalised support and opportunities and to discuss any concerns.

Support our Care Experienced Pledge to find an appropriate course place for any care experienced young person.

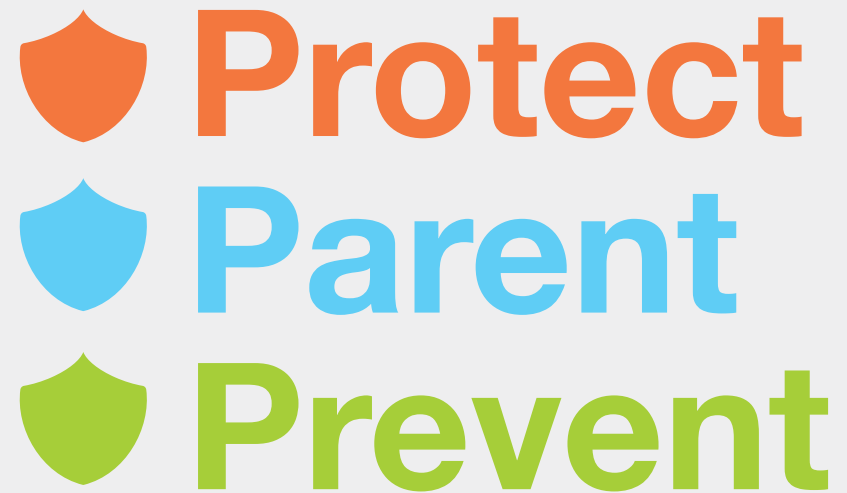
## Prevent@D&A

**D&A College is one of many organisations with a range of responsibilities under the counter terrorism legislation. First and foremost, however, this is a safeguarding issue and our responsibilities include:**

Providing support for children, young people or adults at risk of 'radicalisation' or engagement in terrorism by following the safeguarding process.

Being vigilant and aware of potential issues and reporting concerns if necessary.

Understanding our prevent duties and how these contribute to the College's overall safeguarding approach.





**Human Resources and Development Committee**

**Thursday 14 November 2019**

**PAPER F**

**Strategic Risk Register**

# BOARD OF MANAGEMENT

## Human Resource & Development Committee

Thursday 14 November 2019



### Strategic Risk Register Update

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#### *Paper for discussion / approval*

#### **1. Allocation of Risks to Board Committees**

Following discussion at the Audit and Risk Committee in May 2019, the Board of Management agreed at its meeting in September 2019 that key strategic risks be allocated to each Board Committee for regular review and consideration.

The Strategic Risk Register now highlights the allocation of risk areas across the range of Board Committees.

In identifying these delegated risks, it has been agreed that each Committee consider (and amend/update as appropriate) the key risk areas within their responsibility as a standing item at each future meeting.

Proposed changes arising from this consideration will be brought back to the next appropriate meeting of the Audit & Risk Committee for final approval.

In making these changes, it is important to reinforce that the overall responsibility for risk management will remain with the Board of Management, with delegated authority for the implementation and review of this to the Audit & Risk Committee. The further allocation of areas of risk oversight to Board Committees is intended to improve the awareness, oversight and consideration of risk, rather than amend the terms of the Board of Management scheme of delegation.

#### **2. Consideration of Risks to Board Committees**

In making these changes, each Committee has also been asked to consider how it is informed around the areas of key risk and assure itself that the regular reporting and information, updates and opportunities for scrutiny within the operation of the Committee are reasonable and sufficient in respect of this.

#### **3. Review of Risks Allocated to the Committee within the Strategic Risk Register**

The Draft November 2019 Strategic Risk Register has been updated following input from the Board and various Committees.

The former risk 3.3 in respect of legal action has been amended and expanded to reflect the College's wellbeing and positive duty of care obligations under risks 3.3 and 3.4.

#### **4. Approvals**

In respect of the above information approval is sought on the Strategic Risk Register as it relates to the operation of the Committee.

#### **5. Information**

Further information in respect of Governance matters is available for Board members by contacting Steve Taylor, Vice Principal People & Performance, [s.taylor@dundeeandangus.ac.uk](mailto:s.taylor@dundeeandangus.ac.uk).

**Author and Executive Sponsor:** Steve Taylor, Vice Principal People and Performance



# STRATEGIC RISK REGISTER

**2019 - 2020**

As at November 2019

|                     |       |  |        |                                      |              |               |                   |
|---------------------|-------|--|--------|--------------------------------------|--------------|---------------|-------------------|
| <b>Post Holders</b> | ELT   | Executive Leadership Team              | Prin   | Principal                            | <b>Score</b> | <b>Impact</b> | <b>Likelihood</b> |
|                     | SLT   | Senior Leadership Team                 | DirC&A | Directors of Curriculum & Attainment | 1            | Routine       | Remote            |
|                     | Board | Board of Management                    | HoICT  | Head of ICT                          | 2            | Minor         | Unlikely          |
|                     | VPP&P | Vice Principal People & Performance    | HoE    | Head of Estates                      | 3            | Significant   | Possible          |
|                     | VPCS  | Vice Principal Corporate Services      | Chair  | Chair of the Board of Management     | 4            | Major         | Probable          |
|                     | VPCA  | Vice Principal Curriculum & Attainment |        |                                      | 5            | Critical      | Very Likely       |

| Risk Number & Committee    | POTENTIAL CONTRIBUTING FACTORS   |        |            |       | TREATMENT  | POST MITIGATION EVALUATION |            |       |  |                     |
|----------------------------|--|--------|------------|-------|--|----------------------------|------------|-------|--|---------------------|
|                            | Risks  | Impact | Likelihood | Score | Mitigation Actions   | Impact                     | Likelihood | Score | Monitoring   | Lead Responsibility |
| 1 Strategic and Structural |  |        |            |       |  |                            |            |       |  |                     |
| 1.1 LT&Q                   | Failure of College strategy to meet the needs of the D&A Region and/or national priorities (eg Employability, DYW, attainment, articulation) | 4      | 4          | 16    | <ul style="list-style-type: none"><li>Robust strategic planning</li><li>Effective environmental scanning</li><li>Strong partnerships</li><li>Clear links between strategy and practice</li><li>Concerted demands for increased activity levels</li></ul> | 4                          | 1          | 4     | <ul style="list-style-type: none"><li>Robust monitoring via ROA</li><li>Clear performance metrics</li><li>Amendment of strategic direction/ plans</li><li>Rolling curriculum review</li></ul>  | Prin & Chair        |
| 1.2 Board                  | College may be disadvantaged by changes to either UK or Scottish Government policies   | 4      | 3          | 12    | <ul style="list-style-type: none"><li>Effective environmental scanning</li><li>Negotiation/influence at national level</li></ul>   | 4                          | 2          | 8     | <ul style="list-style-type: none"><li>Review of changes and amendment of strategic direction/plans</li><li>Financial strategy sensitivities</li></ul>  | Prin & Chair        |
| 1.3 Board                  | College disadvantaged by changes arising from UK leaving European Union  | 5      | 4          | 20    | <ul style="list-style-type: none"><li>Negotiation/influence at national level</li><li>Review of activities/ projects</li><li>Responsiveness to new opportunities</li></ul>   | 5                          | 3          | 15    | <ul style="list-style-type: none"><li>Review of changes and amendment of strategic direction/plans/ curriculum</li><li>Financial strategy ESF sensitivity</li><li>Workforce planning</li><li>International strategy &amp; planning</li></ul> | Prin                |

**Key to Risk Estimation/Score based on scale of 1 – 5 for impact/likelihood:** Green (1-8) = Minor Risk; Amber (9-15) = Significant Risk; Red (16-20) = Major Risk; Purple, (>21 - 25) = Fundamental Risk



|                     |       |  |        |                                      |              |               |                   |
|---------------------|-------|--|--------|--------------------------------------|--------------|---------------|-------------------|
| <b>Post Holders</b> | ELT   | Executive Leadership Team              | Prin   | Principal                            | <b>Score</b> | <b>Impact</b> | <b>Likelihood</b> |
|                     | SLT   | Senior Leadership Team                 | DirC&A | Directors of Curriculum & Attainment | 1            | Routine       | Remote            |
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| Risk Number & Committee | POTENTIAL CONTRIBUTING FACTORS  |        |            |       | TREATMENT  | POST MITIGATION EVALUATION |            |       |  |                |
|-------------------------|---|--------|------------|-------|--|----------------------------|------------|-------|--|----------------|
|                         | Risks   | Impact | Likelihood | Score | Mitigation Actions   | Impact                     | Likelihood | Score | Monitoring   | Responsibility |
| 2                       | Financial   |        |            |       |  |                            |            |       |  |                |
| 2.1<br>F&P              | Change in SFC Funding Methodology and Allocation – Reduction in Funding         | 3      | 3          | 9     | <ul style="list-style-type: none"><li>Negotiation/influence at national level</li><li>Contingency plans for reduced funding</li></ul>  | 2                          | 3          | 4     | <ul style="list-style-type: none"><li>Advance modelling of new funding methodologies and allocations</li><li>Monitoring impact of changes</li><li>Amendment of strategic or operational direction/plans</li><li>Financial strategy sensitivities</li></ul> | VPCS           |
| 2.2<br>F&P              | Failure to achieve institutional sustainability                                 | 5      | 4          | 20    | <ul style="list-style-type: none"><li>Protection of funding through dialogue with SFC</li><li>Robust annual budget-setting and multi-year financial strategic planning</li><li>Effective budgetary control</li><li>Where required, swift action to implement savings</li></ul> | 4                          | 3          | 12    | <ul style="list-style-type: none"><li>Monthly monitoring of budgets</li><li>Regular review of financial strategy and non-core income sensitivity</li><li>Detailed monitoring of savings programmes</li></ul>   | VPCS           |
| 2.3<br>F&P              | National outcomes on salaries and conditions of service outstrip ability to pay | 4      | 4          | 16    | <ul style="list-style-type: none"><li>Influence within Employers Association</li><li>Management of staffing expenditures</li></ul>   | 4                          | 3          | 12    | <ul style="list-style-type: none"><li>Expenditure modelling</li><li>On-going discussions with staff</li><li>Financial strategy sensitivities</li><li>Workforce planning</li></ul>  | VPP&P, VPCS    |

**Key to Risk Estimation/Score based on scale of 1 – 5 for impact/likelihood:** Green (1-8) = Minor Risk; Amber (9-15) = Significant Risk; Red (16-20) = Major Risk; Purple, (>21 - 25) = Fundamental Risk

| Post Holders | ELT   | Executive Leadership Team              | Prin   | Principal                            | Score | Impact      | Likelihood  |
|--------------|-------|--|--------|--------------------------------------|-------|-------------|-------------|
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| Risk Number & Committee      | POTENTIAL CONTRIBUTING FACTORS                                      |        |            | TREATMENT |   | POST MITIGATION EVALUATION |            |       |   |                     |
|------------------------------|---|--------|------------|-----------|---|----------------------------|------------|-------|---|---------------------|
|                              | Risks   | Impact | Likelihood | Score     | Mitigation Actions  | Impact                     | Likelihood | Score | Monitoring  | Lead Responsibility |
| <b>2</b>                     | <b>Financial (cont)</b>   |        |            |           |   |                            |            |       |   |                     |
| <b>2.4</b><br><b>A&amp;R</b> | Financial Fraud   | 4      | 3          | 12        | <ul style="list-style-type: none"> <li>Strong financial controls: segregation of duties and review of transactions.</li> <li>Review of impact of any changes in structure or duties</li> <li>Whistleblowing arrangements</li> </ul> | 3                          | 2          | 6     | <ul style="list-style-type: none"> <li>Continuous review of financial controls</li> <li>Internal Audit programme</li> </ul> | VPCS                |
| <b>2.5</b><br><b>F&amp;P</b> | D&A Foundation refuses/withholds funding for key College priorities | 5      | 3          | 15        | <ul style="list-style-type: none"> <li>On-going dialogue with Foundation Trustees</li> <li>Appropriate bid arrangements in place</li> </ul>   | 3                          | 2          | 6     | <ul style="list-style-type: none"> <li>Monitor and advise Board of Management</li> </ul>                                    | Prin & VPCS         |

Key to Risk Estimation/Score based on scale of 1 – 5 for impact/likelihood: Green (1-8) = Minor Risk; Amber (9-15) = Significant Risk; Red (16-20) = Major Risk; Purple, (>21 - 25) = Fundamental Risk

|                     |       |  |        |                                      |              |               |                   |
|---------------------|-------|--|--------|--------------------------------------|--------------|---------------|-------------------|
| <b>Post Holders</b> | ELT   | Executive Leadership Team              | Prin   | Principal                            | <b>Score</b> | <b>Impact</b> | <b>Likelihood</b> |
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| Risk Number & Committee       | POTENTIAL CONTRIBUTING FACTORS   |        |            | TREATMENT |  | POST MITIGATION EVALUATION |            |       |   |                        |
|-------------------------------|--|--------|------------|-----------|--|----------------------------|------------|-------|---|------------------------|
|                               | Risks  | Impact | Likelihood | Score     | Mitigation Actions   | Impact                     | Likelihood | Score | Monitoring  | Lead Responsibility    |
| <b>3</b>                      | <b>People and Performance</b>  |        |            |           |  |                            |            |       |   |                        |
| <b>3.1</b><br><b>LT&amp;Q</b> | Failure to reach aspirational standards in learning, teaching and service delivery           | 4      | 3          | 12        | <ul style="list-style-type: none"> <li>Clear quality arrangements and priority actions</li> <li>Continuous self-evaluation and action planning</li> <li>Rigorous CPD arrangements in place</li> <li>Regular classroom observation and learner feedback arrangements</li> </ul> | 3                          | 2          | 6     | <ul style="list-style-type: none"> <li>Comprehensive monitoring of key PIs and student/staff feedback</li> <li>Regular Stop and Review events</li> <li>External review and validation findings</li> </ul>                                   | VPC&A, VPP&P, DirC&A   |
| <b>3.2</b><br><b>LT&amp;Q</b> | Failure to achieve/maintain compliance arrangements, e.g. contracts; awarding bodies; audit. | 4      | 3          | 12        | <ul style="list-style-type: none"> <li>Robust strategic planning and monitoring</li> <li>Effective environmental scanning</li> <li>Strong partnerships</li> <li>Clear links between strategy and practice</li> <li>Concerted demands for increased activity levels</li> </ul>  | 2                          | 2          | 4     | <ul style="list-style-type: none"> <li>Effective internal monitoring/review/verification arrangements</li> <li>External review findings</li> </ul>  | VPP&P, VPC&A           |
| <b>3.3</b><br><b>A&amp;R</b>  | Legal actions; serious accident; incident or civil/criminal breach                           | 4      | 5          | 20        | <ul style="list-style-type: none"> <li>Adherence to legislative and good practice requirements</li> <li>Positive Union relations and staff communication</li> <li>Effective management development programmes</li> </ul>   | 3                          | 2          | 6     | <ul style="list-style-type: none"> <li>Monitoring and reporting in key areas – eg H&amp;S, equalities, employee engagement</li> <li>Continuous professional development</li> <li>Internal audit programme</li> <li>Staff surveys</li> </ul> | Prin, VPP&P, VPCS, HoE |

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|              | VPCS  | Vice Principal Corporate Services      | Chair  | Chair of the Board of Management     | 4     | Major       | Probable    |
|              | VPCA  | Vice Principal Curriculum & Attainment |        |                                      | 5     | Critical    | Very Likely |

| Risk<br>Number &<br>Committee | POTENTIAL CONTRIBUTING FACTORS |        |            |       | TREATMENT          | POST MITIGATION EVALUATION |            |       |            |                        |
|-------------------------------|--------------------------------|--------|------------|-------|--------------------|----------------------------|------------|-------|------------|------------------------|
|                               | Risks                          | Impact | Likelihood | Score | Mitigation Actions | Impact                     | Likelihood | Score | Monitoring | Lead<br>Responsibility |
|                               |                                |        |            |       |                    |                            |            |       |            |                        |
| 3                             | People and Performance (cont.) |        |            |       |                    |                            |            |       |            |                        |

|                               |  |   |   |    |  |   |   |    |  |               |
|-------------------------------|--|---|---|----|--|---|---|----|--|---------------|
| <b>3.4</b><br><b>HR&amp;D</b> | Failure to meet the aspirational standards in respect of the health, safety, wellbeing and development of staff and students | 3 | 4 | 12 | <ul style="list-style-type: none"> <li>Clear and proactive approaches to managing and promoting health, safety and wellbeing</li> <li>Continuous self-evaluation and action planning</li> <li>Rigorous CPD arrangements in place</li> <li>Regular staff and learner feedback arrangements</li> </ul> | 3 | 2 | 6  | <ul style="list-style-type: none"> <li>Regular employee engagement monitoring</li> <li>Open communication with staff</li> <li>Comprehensive monitoring of key PIs and student/staff feedback</li> <li>Regular union/management dialogue</li> </ul> | VPP&P, VPCS   |
| <b>3.5</b><br><b>Board</b>    | Reputational Risk – Loss of reputation with key stakeholders   | 4 | 3 | 12 | <ul style="list-style-type: none"> <li>Marketing strategy</li> <li>Reputation plan</li> <li>Positive marketing approaches</li> </ul>   | 4 | 2 | 8  | <ul style="list-style-type: none"> <li>Stakeholder engagement</li> <li>Social media monitoring arrangements</li> </ul>   | VPC&A, DirC&A |
| <b>3.6</b><br><b>HRD</b>      | National bargaining outcomes impact adversely on College operations, activity and flexibility                                | 4 | 4 | 16 | <ul style="list-style-type: none"> <li>Influence within Employers Association</li> <li>Management of bargaining outcomes and implementation</li> </ul>   | 4 | 3 | 12 | <ul style="list-style-type: none"> <li>Positive union relations and staff communication</li> <li>On-going discussions with staff</li> <li>Innovation in approaches</li> </ul>  | VPP&P, VPC&A  |

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|                     |       |  |        |                                      |              |               |                   |
|---------------------|-------|--|--------|--------------------------------------|--------------|---------------|-------------------|
| <b>Post Holders</b> | ELT   | Executive Leadership Team              | Prin   | Principal                            | <b>Score</b> | <b>Impact</b> | <b>Likelihood</b> |
|                     | SLT   | Senior Leadership Team                 | DirC&A | Directors of Curriculum & Attainment | 1            | Routine       | Remote            |
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| Risk Number & Committee      | POTENTIAL CONTRIBUTING FACTORS                              |        |            | TREATMENT |   | POST MITIGATION EVALUATION |            |       |  |                     |
|------------------------------|---|--------|------------|-----------|---|----------------------------|------------|-------|--|---------------------|
|                              | Risks   | Impact | Likelihood | Score     | Mitigation Actions  | Impact                     | Likelihood | Score | Monitoring   | Lead Responsibility |
| <b>3</b>                     | <b>People and Performance (cont.)</b>                       |        |            |           |   |                            |            |       |  |                     |
| <b>3.7</b><br><b>HRD</b>     | Industrial Relations Problems (including industrial action) | 4      | 5          | 20        | <ul style="list-style-type: none"> <li>Adherence to legislative and good practice requirements</li> <li>Positive Union relations and staff communication</li> <li>Effective management development programmes</li> <li>Industrial action continuity planning</li> </ul> | 4                          | 3          | 12    | <ul style="list-style-type: none"> <li>Regular union/management dialogue</li> <li>Regular employee engagement monitoring</li> <li>Open communication with staff</li> <li>Industrial action continuity planning</li> </ul>  | VPP&P               |
| <b>3.8</b><br><b>A&amp;R</b> | Breach of data security / data protection                   | 5      | 4          | 20        | <ul style="list-style-type: none"> <li>Effective management of GDPR compliance</li> <li>Mandatory staff CPD and awareness raising on data protection (relative to role)</li> </ul>  | 4                          | 2          | 8     | <ul style="list-style-type: none"> <li>Active data protection monitoring and auditing</li> <li>Effective information and data security policies in operation</li> <li>Regular data security monitoring/testing</li> <li>GDPR Action Plan</li> <li>Staff CPD</li> </ul> | VPC&A, HolCT        |
| <b>3.9</b><br><b>HRD</b>     | Failure to meet Prevent and related obligations             | 5      | 3          | 15        | <ul style="list-style-type: none"> <li>Prevent training</li> <li>Staff awareness and contingency planning</li> <li>Engagement/practice sharing with local agencies</li> </ul>   | 5                          | 1          | 5     | <ul style="list-style-type: none"> <li>Business Continuity Plan including scenario testing</li> <li>Information sharing with local agencies</li> </ul>   | VPC&A, VPP&P        |

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|--------------|-------|--|--------|--------------------------------------|-------|-------------|-------------|
|              | SLT   | Senior Leadership Team                 | DirC&A | Directors of Curriculum & Attainment | 1     | Routine     | Remote      |
|              | Board | Board of Management                    | HoICT  | Head of ICT                          | 2     | Minor       | Unlikely    |
|              | VPP&P | Vice Principal People & Performance    | HoE    | Head of Estates                      | 3     | Significant | Possible    |
|              | VPCS  | Vice Principal Corporate Services      | Chair  | Chair of the Board of Management     | 4     | Major       | Probable    |
|              | VPCA  | Vice Principal Curriculum & Attainment |        |                                      | 5     | Critical    | Very Likely |

| Risk Number & Committee | POTENTIAL CONTRIBUTING FACTORS   |        |            | TREATMENT |   | POST MITIGATION EVALUATION |            |       |  |                     |
|-------------------------|--|--------|------------|-----------|---|----------------------------|------------|-------|--|---------------------|
|                         | Risks  | Impact | Likelihood | Score     | Mitigation Actions  | Impact                     | Likelihood | Score | Monitoring   | Lead Responsibility |
| <b>3</b>                | <b>People and Performance (cont.)</b>                                    |        |            |           |   |                            |            |       |  |                     |
| <b>3.10 HRD</b>         | College arrangements do not minimise risk associated with Modern Slavery | 4      | 3          | 12        | <ul style="list-style-type: none"> <li>Clear and compliant procurement arrangements and procedures</li> <li>Staff identity checking arrangements and use of PVG.</li> </ul> | 4                          | 1          | 4     | <ul style="list-style-type: none"> <li>Annual procurement monitoring/reporting</li> <li>Regular employee engagement monitoring</li> <li>Open communication with staff</li> </ul> | VPC&A, VPP&P        |

**Key to Risk Estimation/Score based on scale of 1 – 5 for impact/likelihood:** Green (1-8) = Minor Risk; Amber (9-15) = Significant Risk; Red (16-20) = Major Risk; Purple, (>21 - 25) = Fundamental Risk

|                     |       |  |        |                                      |              |               |                   |
|---------------------|-------|--|--------|--------------------------------------|--------------|---------------|-------------------|
| <b>Post Holders</b> | ELT   | Executive Leadership Team              | Prin   | Principal                            | <b>Score</b> | <b>Impact</b> | <b>Likelihood</b> |
|                     | SLT   | Senior Leadership Team                 | DirC&A | Directors of Curriculum & Attainment | 1            | Routine       | Remote            |
|                     | Board | Board of Management                    | HolCT  | Head of ICT                          | 2            | Minor         | Unlikely          |
|                     | VPP&P | Vice Principal People & Performance    | HoE    | Head of Estates                      | 3            | Significant   | Possible          |
|                     | VPCS  | Vice Principal Corporate Services      | Chair  | Chair of the Board of Management     | 4            | Major         | Probable          |
|                     | VPCA  | Vice Principal Curriculum & Attainment |        |                                      | 5            | Critical      | Very Likely       |

| Risk Number & Committee      | POTENTIAL CONTRIBUTING FACTORS  |        |            | TREATMENT |  | POST MITIGATION EVALUATION |            |       |   |                |
|------------------------------|---|--------|------------|-----------|--|----------------------------|------------|-------|---|----------------|
|                              | Risks   | Impact | Likelihood | Score     | Mitigation Actions   | Impact                     | Likelihood | Score | Monitoring  | Responsibility |
| <b>4</b>                     | <b>Infrastructure</b>   |        |            |           |  |                            |            |       |   |                |
| <b>4.1</b><br><b>A&amp;R</b> | Disasters – eg Fire, MIS Failure, Failure of Emergency Procedures                     | 5      | 4          | 20        | <ul style="list-style-type: none"> <li>Sound systems of administration</li> <li>Clear fire and disaster recovery arrangements</li> <li>Staff CPD</li> </ul>                                      | 5                          | 1          | 5     | <ul style="list-style-type: none"> <li>Business Continuity Plan including scenario testing</li> </ul>   | Prin & VPCS    |
| <b>4.2</b><br><b>F&amp;P</b> | Failure to achieve ambitions of ICT strategy; strategy and development is ineffective | 4      | 3          | 12        | <ul style="list-style-type: none"> <li>Planning, careful phasing of changes to processes and systems</li> <li>Effective management of ICT arrangements</li> <li>Clear investment plan</li> </ul> | 4                          | 2          | 8     | <ul style="list-style-type: none"> <li>Regular review/reporting on milestones, systems effectiveness etc</li> <li>Regular CPD</li> </ul>  | VPC&A, HolICT  |
| <b>4.3</b><br><b>A&amp;R</b> | Breach of ICT/Cyber security  | 4      | 3          | 12        | <ul style="list-style-type: none"> <li>Effective management of ICT arrangements</li> <li>Active ICT/data security monitoring and cyber security policy</li> </ul>                                | 4                          | 2          | 8     | <ul style="list-style-type: none"> <li>Staff CPD on cyber security issues</li> <li>Regular security monitoring/testing</li> <li>Cyber resilience plan</li> </ul>  | VPC&A, HolICT  |
| <b>4.4</b><br><b>A&amp;R</b> | ICT infrastructure fails to support effective data security / data protection         | 5      | 3          | 15        | <ul style="list-style-type: none"> <li>Effective infrastructure and systems design and implementation</li> <li>Effective management of ICT arrangements and GDPR compliance</li> </ul>           | 4                          | 2          | 8     | <ul style="list-style-type: none"> <li>Active data protection monitoring and auditing</li> <li>Effective information and data security policies in operation</li> <li>Regular data security monitoring/testing</li> </ul> | VPC&A, HolICT  |

**Key to Risk Estimation/Score based on scale of 1 – 5 for impact/likelihood:** Green (1-8) = Minor Risk; Amber (9-15) = Significant Risk; Red (16-20) = Major Risk; Purple, (>21 - 25) = Fundamental Risk



**Human Resources and Development Committee**

**Thursday 14 November 2019**

**PAPER G**

**HR Metrics**



# BOARD OF MANAGEMENT

## Human Resources and Development Committee Thursday 14 November 2019



### HR Metrics

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#### *Paper for information*

#### 1. Introduction

The HR&D Committee have agreed a series of standardised HR&OD metrics that are made available to Committee members at each meeting. The template for these metrics is designed to give Board members an easy to read picture of the College's core human resource information.

Some of the information is presented as an annual figure and will detail comparisons with previous years. This is of particular importance in identifying trends and changes over time.

Other data is presented on a quarterly basis and taken as a snapshot of the status at that point in time.

A full annual report will be presented to each November Committee with quarterly updates reported to the remaining three Committees meetings.

#### 2. HR Metrics

| 2018/19 Headcount |     | % Split | 2017/18 | 2018/19 FTE |       | % Split | 2017/18 |
|-------------------|-----|---------|---------|-------------|-------|---------|---------|
| Teaching          | 421 | 48.1%   | 413     | Teaching    | 281.7 | 47.2%   | 279.03  |
| Other             | 454 | 51.9%   | 482     | Other       | 315.5 | 52.8%   | 324.98  |
| Total             | 875 |         | 895     | Total       | 597.2 |         | 604.01  |

NB these figures use the SFC Annual Staffing Return methodology and vary marginally from the rolling quarterly figures used for other metric reporting. These figures do however give a clear year on year comparison.

| Staff FTE: Credit Ratios 2018/19 |         |         |                                    |         |         |
|----------------------------------|---------|---------|------------------------------------|---------|---------|
|                                  | 2018/19 | 2017/18 |                                    | 2018/19 | 2017/18 |
| Total Credits: Staff FTE         | 183:1   | 181:1   | Total Credits: Teaching Staff FTE: | 388:1   | 393:1   |

| Female & Male Headcount |     | % Split | 2017/18 | Temporary & Permanent FTE |       | % Split | 2017/18 |
|-------------------------|-----|---------|---------|---------------------------|-------|---------|---------|
| Female                  | 567 | 64.8%   | 64.3%   | Temporary                 | 89.8  | 15.0%   | 12.8%   |
| Male                    | 308 | 35.2%   | 35.7%   | Permanent                 | 507.4 | 85.0%   | 87.2%   |
| Other                   |     |         |         |                           |       |         |         |
| Total                   | 875 |         |         | Total                     | 597.2 |         |         |

| Diversity Data Held | %    |
|---------------------|------|
| Ethnicity/Race      | 51%  |
| Disability          | 32%  |
| Gender Pay Gap      | 6.3% |
| Diversity Data Gaps | 47%  |

### Staff Absence Data (rolling 12 months)

This data has been updated to reflect that discussed at each Health, Safety and Wellbeing Committee.

|   | Staff Absence<br>Rolling year to<br>31/10/19 | Staff Absence<br>Rolling year to<br>31/07/19 |
|---|--|--|
| Average working days lost per headcount | 8.34 days                                    | 7.96 days                                    |
| Working time lost                       | 3.21%  | 3.06%  |
| Comparison with sector/national rates   |  |  |
| UK All Sector rate (CIPD 2016)          | 3.3%   |  |
| UK Public Sector rate (Unison 2016)     | 3.4%   |  |

| Absence Analysis                           | Rolling year to<br>31/10/19 | Rolling year to<br>31/07/19 |
|--|-----------------------------|-----------------------------|
| Long Term Absences (4 weeks or more)       | 122                         | 120                         |
| Short Term Absences                        | 822                         | 838                         |
| Stress Related Absences – Work related     | 18                          | 16                          |
| Stress Related Absences – Non-work related | 86                          | 95                          |

### Other HR Metrics

|                                  | 2019/20 | 2018/19 Full Year |
|----------------------------------|---------|-------------------|
| Staff Turnover Rate (non-forced) | 2.06%   | 6.19%             |
| Employee Hearings                |         |                   |
| Discipline                       | 0       | 3                 |
| Grievance                        | 3       | 3                 |
| Tribunal Actions                 | 0       | 0                 |
| Recruitment Exercises            | 79      | 119               |
| Current Vacancies                | 3       |                   |

### 3. OD Metrics

|   | 2019/20 to date                 | 2018/19 Full Year               |
|---|---------------------------------|---------------------------------|
| Engagement with Leading Learning Academy (per team)   | 100%                            | 100%                            |
| Number of internal CPD events delivered and external events supported   | 135                             | 730                             |
| Number of attendances at internal and external CPD events per employee headcount  | 771                             | 1637<br>1.81                    |
| Organisational Development budget per employee headcount  | -                               | £192                            |
| Engagement survey ratings (annual/periodic)   | - Survey to run in Oct/Nov 2020 | Engagement 80%<br>Happiness 69% |
| Employees participating in College-wide strategy and working groups % of employee headcount   | -                               | 12%                             |
| Employees with health and safety certification (this is in addition to mandatory obligations - all new employees have H&S briefing) | See H&S Annual Report           | See H&S Annual Report           |
| Employee benefits take up rates   | All staff registered            | All staff registered            |

### Induction

| Induction 2018/19 | New Starts | Not Started | In progress: On Track | In progress: Behind | Completed | Total |
|-------------------|------------|-------------|-----------------------|---------------------|-----------|-------|
| Academic          | 22         | 0           | 22                    | 0                   | 0         | 22    |
| Support           | 22         | 0           | 22                    | 0                   | 0         | 22    |

### 4. Link to Strategic Risk Register

Information in this report is intended to provide Board members with reassurance that actions and activities are being progressed and addressed that support the mitigation of a range of risks identified within the Strategic Risk Register namely;

- 2.2 – failure to achieve institutional sustainability
- 3.1 – failure to reach aspirational standards in learning, teaching and service delivery
- 3.3 – Legal actions; serious accident; incident or civil/criminal breach
- 3.4 – failure to meet aspirational standards in respect of the health, safety, wellbeing and development of staff and students
- 3.9 – failure to meet PREVENT and related obligations

### 5. Information

Further information in respect of HR&OD matters is available for Board members by contacting Steve Taylor, Vice Principal People & Performance, [s.taylor@dundeeandangus.ac.uk](mailto:s.taylor@dundeeandangus.ac.uk).

**Author:** C Hewitt/C Lynagh  
**Executive Sponsor:** S Taylor



**Human Resources and Development Committee**

**Thursday 14 November 2019**

**PAPER H**

**Meeting Minutes / Updates**

**Joint Consultation and Negotiation Forum – 27 September  
2019**

# JOINT CONSULTATION FORUM

Friday 27 September 2019

Draft Minute confirmed by Chair



**PRESENT:**

|               |            |
|---------------|------------|
| G Ritchie     | S Hewitt   |
| S Taylor      | J Carnegie |
| N Steff       | A Mawhirt  |
| A O'Neill     | D Travis   |
| G McGillivray | D Deans    |
| G McAteer     | J Dick     |

## Action

### 1. Apologies

Apologies were received from Y Cargill, A Williamson and C Robertson.

### 2. Minute of Last Meeting

The minute of the meeting held on 7 June 2019 was approved following acceptance of a change proposed by N Steff in respect of the wording around the Catering break even position.

AM

### 3. Matters Arising/Actions

#### 3.1 Semester Dates

S Hewitt noted a first meeting took place and it was evident there was synergy with the Timetabling group, therefore actions were developed with the wider group. G Ritchie noted that the figures on this session's early withdrawals were double last year's, with a significant proportion of those withdrawals due to acceptance of university places. G Ritchie noted that it may be worth considering this in terms of semester dates.

#### 3.2 JCF Minutes on Portal

G Ritchie confirmed that this had been actioned.

#### 3.3 Portal Updates to Curriculum Page

S Hewitt confirmed this is completed.

### 4. Union Items

#### 4.1 EIS FELA Statement: D Travis

D Travis outlined an EIS FELA's statement on the leak of the EIS member survey data to the Courier. The branch's position was that any sharing of the confidential data was inappropriate and was not supported by the local branch. G Ritchie noted the statement and outlined the situation for GMB and Unison reps in attendance.

#### **4.2 NWP (Off Site Working): A O'Neill**

A O'Neill raised an issue around the provision within the national agreement in terms of self-location for up to 7 hours per week. S Hewitt noted that the national wording supports the way the College has operated in the past and the expectation is that is to continue. A O'Neill noted there were examples of blanket refusals to requests. It was noted that this was not appropriate and a request was made that any examples of this type be referred on so that they could be picked up.

G Ritchie stated that he would raise approaches and expectations around this as part of the management development session scheduled for 2 October 2019.

**GR**

#### **4.3 Organisational Change: N Steff**

N Steff noted that requests have been made around information sharing on restructuring and changes, which is done with larger restructures but not usually where there were smaller changes made. N Steff noted that where smaller changes have taken place, the sharing of information does not always happen.

J Carnegie queried whether there were specific examples, and N Steff noted the VS of a Receptionist and a cleaning role in Catering (which was to be replaced), along with changes in the Quality team. D Deans raised a query around changes to Caretaker holiday arrangements - it was noted that no one in the meeting was aware of these particular changes.

**GR**

G Ritchie confirmed this would be discussed at the next SLT.

S Taylor confirmed a further conversation would be helpful to flesh out specific examples and scenarios where formal consultation was most appropriate.

**ST**

### **5. Communication – Service Design Event**

J Carnegie noted that the joint communication following the EIS survey and follow up meeting had included points regarding the event and stated that it would be useful to have this joint statement agreed before progressing with final arrangements.

D Travis stated that in general the joint statement had been welcomed by the branch, but that there were some minor changes to be proposed. This was being looked at and D Travis apologised for the delay.

The group discussed the timeline for completing the session and G Ritchie confirmed a proposed attendees list would be drafted and shared with the unions. J Carnegie noted the importance of balancing attendance with a range of participants and a workable group size.

**GR**

A date for the session prior to Christmas will be confirmed.

**Exec**

### **6. National Bargaining**

#### **6.1 Academic T&Cs**

S Taylor noted that the National Working Practices Agreement is now in place and advised that it was not felt to be necessary to issue new contracts to lecturers (as some colleges had done).

S Taylor noted that one area of change had been the calculation of a day's pay, which was formerly 1/261 and was now 1/365. It was noted that this would impact on any payment for or deduction of a day's pay.

## **6.2 Transfer to Permanency**

S Taylor noted that a meeting took place prior to JCF to confirm next steps. Contracts have been issued to support and academic staff who fall into scope for the arrangements. Further clarification on scope has been requested and progressing this was discussed at the TTP meeting prior to JCF. N Steff asked that TTP be included as a standard item on the agenda. This was agreed.

ST

The availability of academic job descriptions was discussed and it was noted that these could be published on the Portal.

AM

## **6.3 National Job Evaluation**

Colleges Scotland requested an update on the status of our returns, which C Mackie had confirmed at the start of the week. D&A's returns are almost complete, though nationally the return figure is only just over 50%.

# **7. College Finances**

## **7.1 Financial Forecast Return (FFR)**

J Carnegie explained the requirement for the College to complete a Financial Forecast Return and outlined the challenges of forecasting accurately in the current financial climate.

J Carnegie summarised the FFR and noted that the D&A forecast was positive, but did forecast on-going deficits and the risk that the College would run out of cash over a 5 year period. Challenges through increasing costs within a 'flat cash' funding environment were noted, alongside the need for a continuing focus on recruiting and retaining students and bringing in other sources of funding such as the Child Poverty Fund will continue to be key in managing our financial sustainability.

D Travis noted the continued importance of constructive local discussions and joint working to ensure funding and other opportunities are considered a 'safe bet' with D&A.

J Carnegie noted that it does seem likely that support is available for redevelopment of Kingsway Campus and the STEM centre. The work that has gone in to efficiencies and retention of students has had a big impact on the financial stability of the College.

N Steff queried whether there was any suggestion of a change of direction at SFC with the new CEO appointment. G Ritchie noted that K Watt has visited D&A with a view to finding out more about colleges directly from Principals and senior teams.

S Taylor noted that D&A has significant funding and activity through ESF (European Social Fund) which (unrelated to Brexit) will come to an end in 2022. At that point, the College credit count would decrease and the funding for c 200 students would stop.

A O'Neill noted that the FFR highlighted D&A employs around 1000 staff however the most recent HR metrics note a figure nearer to 800. It was noted that staff numbers fluctuated across the year and would be around 1,000 annually, but perhaps only 800 at a single point in time.

S Taylor highlighted that the SFC funding no longer covered the College's salary costs, highlighting the critical importance of commercial, project and other sources of funding.

N Steff queried what decisions had been made around utilising cash available in last academic session. J Carnegie confirmed that £1 million was paid to reduce the Gardyne loan, reducing annual repayments. Other steps included the Wi-Fi upgrade and workstation replacement.

G McGillivray queried whether any funding could be utilised in a similar way to Good to Great, to encourage continued innovation and investment. S Hewitt noted that this was on the radar and there may be opportunities to create an 'innovation fund' or similar.

J Carnegie noted that SFC's Innovation Fund and other funding streams should also be taken advantage of, with S Hewitt confirming that Sector Development Leaders would cover funding bid opportunities as part of their roles.

## **8. Academic Structure Update**

S Hewitt confirmed that positions are nearly all filled, and some further Support roles will be advertised shortly.

D Travis noted that S Brown from EIS national branch has taken on some local queries and had asked about the matching arrangements for national promoted roles and the timing of the VS scheme were noted. S Taylor noted that any individuals impacted by the remaining elements of the restructure and considering VS could approach the People Team to discuss this.

D Travis confirmed he would copy queries to S Taylor for a response to S Brown.

**DT**

### **8.1 Conservation Arrangements**

S Taylor outlined the conversations regarding new appointments in the restructure and how 4 years' conservation would be applied. A discussion was held around arrangements could work for anyone considering stepping down from a new role in the structure and it was noted that these would need to be looked at on a case-by-case basis.

## **9. Future Term Dates**

S Taylor noted that final draft term dates for session 2020/21 had been developed, following the same pattern as the current year. S Taylor requested that any queries on the circulated paper were provided by Friday 4<sup>th</sup> October, otherwise the final draft dates would be confirmed.

**All**

It was agreed that the term date pattern for future years would be considered at the next meeting.

**ST**



**10. Policy Review Group**

A Mawhirt confirmed that meetings would shortly be scheduled. G Graham will be working with the group to complete the work required around policy and procedure updates due to the changes in the academic structure and job roles.

This work will likely fall into three main categories; documents where there's a simple job title update; those that require discussion around which role is responsible for which tasks; those that require content review and updates.

G Graham and A Mawhirt will work with PRG to plan the schedule of work. Prioritising the Positive Behaviour Policy was requested.

It was noted that a query regarding the Sickness Absence policy had been received (regarding payment of sickness absence in arrears). J Dick requested that the manual HR process was reviewed and updated as a matter of urgency to move sickness absence payments into real time. It was noted that this work was planned, but would take some time to be progressed. It was confirmed that a temporary arrangement was in place to avoid future overpayments from arising.

**AM**

J Dick noted that a query had been received regarding payslip abbreviations. It was agreed that this would be looked at and a glossary developed as appropriate.

**AM**

N Steff noted issues with Portal searches turning up old or out of date document. A Mawhirt will work with G Graham to clear out older documents and versions through the policy / document review process.

**AM**

**11. AOCB**

**11.1 Timing of Feedback Documents**

G McAteer raised a query on behalf of Y Cargill regarding providing interview feedback within a day of interview. A Mawhirt queried where the 24 hours turnaround came from, as this was not established as part of College procedures. G McAteer raised concerns that some feedback had taken weeks to provide, with G McGillivray noting in one case it was months. A Mawhirt asked that information on late responses be provided to her and advised that she would look into the cases noted.

**AM**

**11.2 Reflections on the Interview Process**

G McAteer noted that Y Cargill raised a query regarding when the review of Recruitment and Selection procedures would take place. S Hewitt and G Ritchie noted this was part of the outcomes of the EIS survey meeting and would be picked up through this mechanism.

**11.3 Copyright Policy**

D Travis noted recent activity at branch level regarding copyright liability, querying whether the absence of a CLA Licence at D&A increased individual staff member liability in terms of copyright. S Taylor and A Mawhirt confirmed the absence of the licence does not increase individual staff copyright liability.

#### **11.4 Insights Profiles**

G McGillivray queried the process for accessing and sharing Insights profiles and what happened with the data once generated. A Mawhirt confirmed this is stored in the password protected Insights Online system, accessible only to designated members of the People Team. It was confirmed that profiles are not connected to HR systems and records and remain the property of the individual.

- 12. Date of Next Meeting**  
Friday 8 November 2019