

# BOARD OF MANAGEMENT

## Human Resources and Development Committee



Thursday 7 May 2020 at 5.00pm via  
Teams

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### AGENDA

1. **WELCOME**
2. **APOLOGIES**
3. **DECLARATIONS OF INTEREST**
4. **MINUTE OF THE PREVIOUS MEETING – 14 November 2019** Paper A for approval
5. **MATTERS ARISING**
6. **COVID 19 IMPACTS AND ARRANGEMENTS FOR STAFF** Verbal update ST
7. **VP PEOPLE AND PERFORMANCE REPORT** Paper B for information ST
8. **NATIONAL BARGAINING UPDATE** Verbal update GR/ST
9. **STRATEGIC RISK REGISTER** Paper C for approval ST
10. **HR METRICS** Paper D for information ST
11. **MEETING MINUTES/UPDATES** Paper E for noting
  - Joint Consultation Forum
12. **DATE OF NEXT MEETING – Thursday 17 September 2020**



**Human Resources and Development Committee**

**Thursday 7 May 2020**

**PAPER A**

**Minute of the Previous Meeting – 14 November  
2019**

# BOARD OF MANAGEMENT



## Human Resources and Development Committee Thursday 14 November 2019

Draft confirmed by Chair

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

**PRESENT:** G Bisset K Keay  
B Carmichael G Ritchie  
S Stirling

**IN ATTENDANCE:** S Taylor (Vice Principal) A Mawhirt (Head of People and OD)  
S Hewitt (Vice Principal)

### 1. WELCOME

G Bisset welcomed members to the meeting and noted that he was chairing in the absence of P Milne.

### 2. APOLOGIES

Apologies received from P Milne, D Fordyce, T Pirie, D Mackenzie, J Carnegie, and B Grace.

### 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 19 September 2019 was approved as an accurate record.

### 6. MATTERS ARISING

#### 6.1 Development Reviews

G Bisset asked for an update on the implementation of the revised approach to development reviews. A Mawhirt and B Carmichael summarised progress, noting that information on these had been provided to all managers and on-going support and guidance was available.

It was noted that reporting on completion rates would be scheduled on an annual basis to the September meeting of each year, as the timing of review conversations would vary between areas depending on different timetables and other work activities. **A Mawhirt to progress.**

## **7. RESTRUCTURE EQUALITIES ANALYSIS**

S Taylor summarised the paper produced comparing the new with the previous structure and noted that, whilst there were differences, there were no areas within this that caused concern. It was noted that as a relatively small staff group, one or two staff changes could make a significant difference to percentages.

The update and underpinning review was welcomed.

## **8. POST RESTRUCTURE LEADERSHIP DEVELOPMENT**

A Mawhirt provided a summary of the paper to the Committee, highlighting the post restructure CPD plans in place for academic, support and senior managers.

Plans and activities were discussed, and G Bisset noted the development of agile training and queried how this fitted with leadership given its software development origins. A Mawhirt noted that agile leadership in the public sector was a priority of the Scottish Government, and noted that some of the tools and approaches underpinning agile theory were less applicable in leadership situations, whilst others were proving to be valuable. A Mawhirt noted that good use had been made of Statements of Intent, Kanban, and Delegation Charts etc. It was noted that many elements of this development fitted in well with service design approaches also being used.

S Hewitt noted work progressing to support the new Curriculum and Quality Leader group, including arrangements to review and refresh various strategies and approaches underpinning learner experience.

G Bisset thanked a Mawhirt for the update provided.

## **9. VP PEOPLE AND PERFORMANCE REPORT**

S Taylor summarised the report for discussion, highlighting the outcomes of the VS scheme that closed in June 2019. S Taylor noted that there was one remaining application to be finalised,

S Taylor stated that the current scheme was approved through to 31 December and that it was planned that the College would seek an extension on the scheme from SFC through to 2021. This would require board approval and would be discussed at the December 2019 meeting.

S Taylor noted that Celeste Mackie, HR Team Leader, would leave the College before Christmas. The Committee wished her well for the future.

Arrangements to better promote equalities were discussed, and the adoption of the social media hashtag #DAequallyskilled was noted with interest.

## **10. NATIONAL BARGAINING UPDATE**

G Ritchie provided an update on National Bargaining, noting discussions at the Employers Association meeting that morning and the expectation that salaries negotiations would commence in spring 2020 for the September 2020 settlement date.

S Taylor noted that national progress in respect of Job Evaluation was being made, with arrangements progressed to begin job scoring. The potential for dispute to arise during this stage, and subsequent consideration of grading and salaries was noted.

Discussions in respect of the implementation of elements of the academic staff agreement were on-going.

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

S Taylor noted that 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.

S Taylor highlighted the draft Strategic Risk Register summarising the report noting the development of the additional risk 3.4. The Committee approved the allocated areas of the Strategic Risk Register for progression to the next Audit and Risk Committee.

## **12. HR METRICS**

S Taylor provided a summary of the metrics presented, highlighting that these now reflected the full 2018/19 academic year picture.

B Carmichael asked if there were more up to date national comparative figures on staff absence. S Taylor noted that he would check and update for the next meeting as appropriate.  
**S Taylor to progress.**

G Bisset noted the increase in absence rates and asked if there was anything specific underpinning this. S Taylor noted that the reduction in the College headcount was likely to impact on this figure. The levels of stress related absence were noted.

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

The minutes of the Joint Consultation Forum were noted with interest. G Ritchie highlighted on-going discussions with the unions in respect of the restructure and monitoring over the year to ensure that the structure was operating as intended.

G Bisset noted that there was no Health, Safety and Wellbeing Committee minute included in the papers. It was noted that there had not been a planned meeting of this group since the last HR&D meeting. It was confirmed that the next HS&W Committee was scheduled for 6 January 2020.

## **14. DATE OF NEXT MEETING**

The next Human Resources and Development Committee meeting will take place on Thursday 20 February 2020.

### **Action Point Summary**

<b>Action</b>	<b>Responsibility</b>	<b>Date</b>
Completion of Development Reviews to be reported in September each year as an HR metric	A Mawhirt	September 2020
Staff absence comparative rates to be updates as appropriate.	S Taylor	20 February 2020



**Human Resources and Development Committee**

**Thursday 7 May 2020**

**PAPER B**

**VP People and Performance Report**

# BOARD OF MANAGEMENT

## Human Resources and Development Committee Thursday 7 May 2020



### VP People and Performance Report

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#### *Paper for information*

#### **1. Business Continuity – COVID 19**

As Committee members would expect, there has been significant input required across the People team and other services to support the Business Continuity activities in response to the COVID 19 pandemic. Much of this work has been summarised for the Chairs Committee as part of a COVID 19 Recovery Planning report.

Key elements relating to People include the following.

#### **Staff & Leadership**

The vast majority of College staff are working from home successfully. Teaching and learning has continued, student applications are being processed, student bursaries and hardship funds are being paid, Student Services are supporting learners across a wide range of issues and the Students' Association have been active on many fronts. Financial transactions are continuing, suppliers and salaries are being paid, and leadership and management is being supported through a range of remote working approaches.

Equally, it is recognised that these arrangements do not work well for a number of staff, and support and reassurance has been provided where possible for those that are not able to work remotely. Opportunities for volunteering and to provide other support for communities within and outwith the College have been promoted.

The experience of the cyber-attack and subsequent communication processes established at that time have (ironically) put us in a stronger position and served us well in remote working and in maintaining strong business continuity management processes and communication channels.

Line managers have been communicating with their teams remotely and working to ensure that staff are included in the communication chain. All staff emails and portal messages are being used as well to communicate and to support staff. Portal analytics are showing good uptake and utilisation of messaging and resources. Covid-19 FAQs and a remote working hub were set up early in the process to provide information and support for managers and staff.

There is a risk that some staff are feeling isolated and anxious about the whole process of remote learning and the overall pandemic situation. Many will be worried about their learners and some may be worried about their role and their continuing employment.

A short 'pulse' survey will be used to gauge the wellbeing of staff and to identify further CPD/support needs and to offer support.

College systems were set up to signpost health and wellbeing support and advice, ergonomic assessments of homework stations are available. The message was conveyed that although this was going to be tough time, we want a people centric approach with staff being urged to do what they can, when they can, if they can.

Yammer is being used to support informal communication to share lighthearted and social material to try and recreate staff room social interaction.

An ongoing programme of training and CPD opportunities and social / fun activities are under way and 'normal' events such as the long service celebration and the staff awards will go ahead.

Discussions with teaching and support unions have been undertaken regularly. This includes scheduled meetings and additional meetings to update on issues, arrangements and plans. These forums have been used to provide reassurances around payment, contracts etc. Normal communication channels remain open.

Communication around the 'reopening strategy' from lock down conditions will be progressed with unions and staff to identify and address return to work needs / issues and provide support and reassurance to staff.

**Risk:** reduced staff wellbeing and engagement, reduced productivity, loss of face-to-face management / support.

**Mitigation:** Regular, clear and well-planned engagement and communication, support for managers and staff on remote working and leadership good practice. Provide information as this becomes known.

Key Tasks	Owner	Timescale
Clear communication plans and activities	Covid-19 BCP Team	Ongoing
Regular engagement with trade unions	Executive	Ongoing
Staff 'pulse' survey	People Team	May 2020
Remote leadership and remote working hubs	People Team/	Ongoing
Wellbeing support	People Team	Ongoing
Lockdown 'Reopening Strategy'	Executive	July 2020

Extensive work is on-going to support and develop staff within this 'new reality' and this will continue for the foreseeable future.

## 2. Business Continuity – Cyber-Attack

As Committee members will be aware, the COVID 19 pandemic is the second major business continuity issue that has impacted on the College this year. The cyber-attack of 31 January also resulted to significant disruption to College activities and ways of working.

With hindsight it is ironic to note that the cyber-attack probably aided some of our response to the COVID 19 pandemic as it required all staff to reappraise ways of working and (in particular) to make the rapid move onto new systems such as Office 365 and Teams.



This is not to underestimate the impact that this incident has had, with staff losing a significant range of information, materials and files.

A series of seven workstreams were established in the wake of the cyber-attack to support staff and a range of tasks required to address the issues raised by this loss. These workstreams have completed their tasks, although it is recognised that the recreation of files will be an on-going task.

In terms of People Team activities, the cyber-attack did not have a significant impact on core systems (iTrent Payroll and Hydrogen HR) although there were issues around some elements of connectivity and reporting that have required links to be re-established and re-create reports. Two People Team shared drives (HR and OD) were recoverable from November 2019, giving access to a range of former files and information. A significant range of other files were lost and work is progressing to re-create these where needed.

A full report on the cyber-attack has been provided to the Chairs Committee and the key recommendations arising from this will be picked up through the Audit and Risk Committee.

It is important to highlight in respect of this that the cyber-attack did not result in any data breach, or attempt to 'steal' student or staff data.

### **3. Voluntary Severance Scheme**

When last reported, there was one VS application awaiting final consideration from the scheme that closed on 27 June 2019. This has been reviewed and accepted. As a result, the final position is that a total of 30 applications were received (16 academic, 14 Support). From these applications, 11 have been approved (6 academic and 5 support) and 19 declined.

As confirmed at the Board meeting in December 2019, an application was made to the Scottish Funding Council to reapprove the Voluntary Severance Scheme for a period of 2 years. This application was agreed, giving the College a scheme that can be utilised as required through until December 2021.

### **4. National Bargaining**

As reported at the November 2019 meeting, arrangements are progressing to implement the 'Transfer to Permanency' arrangements that will move any temporary staff with two years' service onto a permanent guaranteed hour's contract. These arrangements had progressed well through to December 2019, but have, unfortunately been impacted by the cyber-attack and COVID 19 pandemic. Work is now getting back on track and it is hoped that progress and final arrangements can be confirmed over the coming weeks.

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.

Arrangements continue to progress in respect of the national job evaluation project for support roles, although as expected, this has been impacted by the COVID 19 situation.

A national dispute has been declared in respect of support staff by Unison in relation to arrangements for annual leave during the COVID 19 pandemic. This dispute particularly relates to arrangements for the carrying over of annual leave into future leave years. This has not been raised as a particular issue or concern locally, and dispute resolution discussions are being held at a national level in respect of this.

## 5. Karen Buchan (HR Manager)

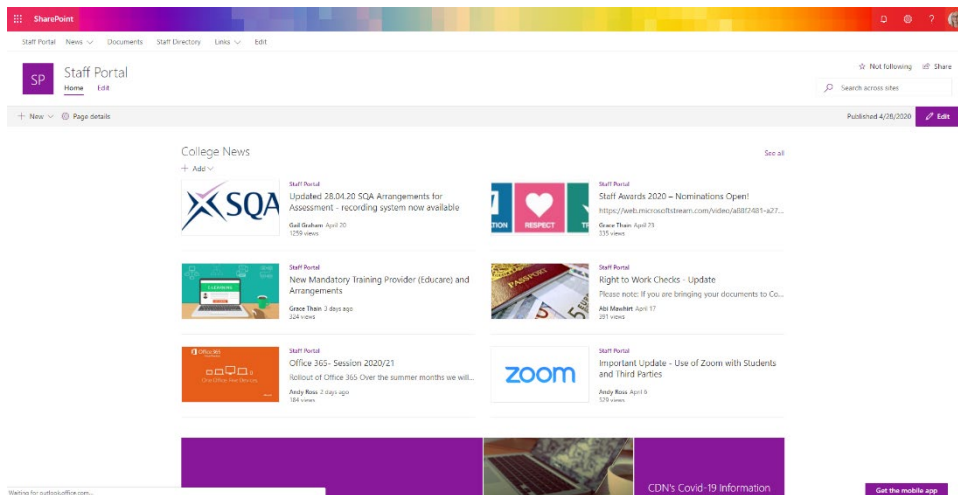
Following the retirement of Celeste Mackie in mid-December, we are delighted to confirm the appointment of Karen Buchan to the role of HR Manager. Karen joins the People Team from an HR management role at Balhousie Care and has previous management and HR experience gained with Tesco. Karen is also a previous award winner at the Cherries HR Awards.

Karen joined the College in the week of the cyber-attack, so has had a very different introduction into College life. She has, however, 'hit the ground running' and has picked up a range of projects and activities (alongside management of the HR Team) to support the College.

## 6. New Staff Portal

Following the cyber-attack, there was an opportunity to undertake a piece of work that had already been planned for 2020. The move from SharePoint 2013 to SharePoint Online for the Staff Portal (intranet) took place in March, with the new Portal up and running in plenty of time for the move to homeworking.

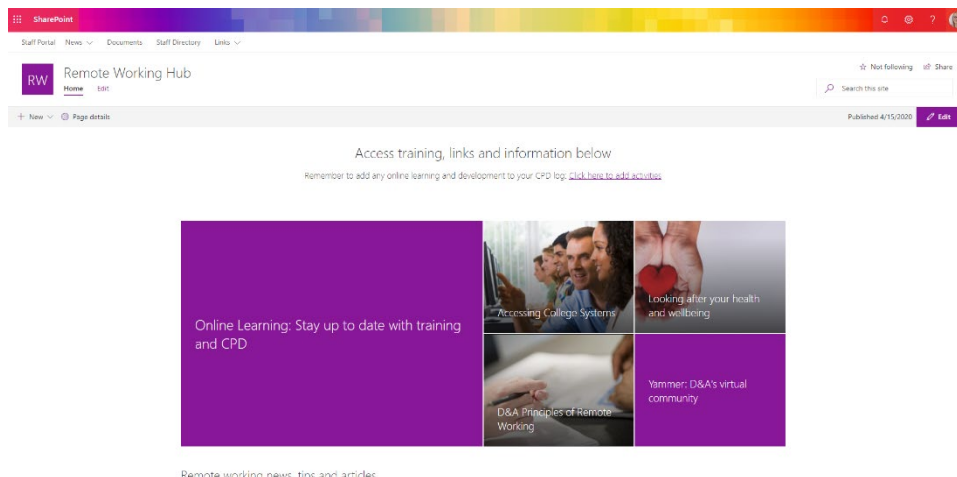
The new Portal has been designed to be simple to access, use and maintain, with further developments continuing to take place. By start of session 2020-21, full functionality of the new Portal will be up and running.



## 7. Homeworking

In preparation for College staff working from home, a Remote Working Hub was built on the new Portal. This included information on expectations when working from home, with the reassurance that the College understood this was not going to be a normal experience of working remotely.

The site also includes links to online learning, systems (to make access from home simple) and health and wellbeing information. We have regularly promoted the importance of routine, taking breaks and generally good wellbeing practices through this Hub.



In addition, Yammer (the Microsoft organisational social media site) has been relaunched to provide staff with a social outlet and a space to connect informally. This has proved popular in terms of sharing activities for kids and other resources, as well as light-hearted quizzes.

## 8. Online Learning

A range of online learning has been highlighted to staff through the Remote Working Hub, with Organisational Development and Learning and Digital Resources working together to curate the 'best of' in-house, Microsoft and other free online learning. In addition to this, the College has invested in a Linked In Learning contract to supplement the wealth of freely available online learning, targeting teams who will especially benefit from the more specialised content.

Organisational Development have also been accelerating work to create Learning Pathways for staff, blending in-house developed courses on coaching, management, health and wellbeing and 'working smart' at D&A to ensure staff can continue with relevant, quality CPD.

## 9. New Mandatory Training Provider

Roll out of our new mandatory training provider has taken place despite lock down, with a range of additional material also available on this platform. Educare's site has been made available to all staff, and now is the single platform for mandatory training on:

- Health and Safety
- Equality and Diversity
- Data Protection
- Safeguarding

## 10. Staff Awards

The Staff Awards will run this year in an online format. The event will take place on Friday 5<sup>th</sup> June at 2pm, and the usual values-based categories are now open for nominations. Close work has taken place between the Organisational Development team and the Students' Association, with a big focus on the student to staff awards.

## 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



**Human Resources and Development Committee**

**Thursday 20 May 2020**

**PAPER C**

**Strategic Risk Register**

**BOARD OF MANAGEMENT**  
**Human Resource and Development**  
**Committee Thursday 7 May 2020**



**Strategic Risk Register Update**

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*Paper for 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 April 2020 Strategic Risk Register is enclosed. It should be noted that no changes have, however, been made to this in respect of the risks allocated to the Human Resource and Development Quality Committee.

Given the current COVID 19 pandemic, an additional temporary COVID 19 Strategic Risk Register has been developed to record the additional risk associated with identified areas of College operation at the current time. This Risk Register is also included and the following risk areas fall within the remit of the Human Resource and Development Committee, with revised scoring and additional elements in respect of mitigation and monitoring highlighted for each.

3.4 Failure to meet the aspirational standards in respect of the health, safety, wellbeing and development of staff and students

3.7 Industrial Relations Problems (including industrial action)

#### **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 April 2020



<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			Lead Responsibility		
	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood		Score	Monitoring
<b>1</b>	<b>Strategic and Structural</b>									
<b>1.1</b> <b>LT&amp;Q</b>	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
<b>1.2</b> <b>Board</b>	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
<b>1.3</b> <b>Board</b>	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>
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	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood		Score	Monitoring
<b>1</b>	<b>Strategic and Structural</b>									
<b>1.4 Board</b>	Difficulties or over commitment arising within large scale/national College led initiatives or projects impact negatively on: <ul style="list-style-type: none"> <li>Ability of the College to meet key regional strategies/objectives</li> <li>Financial loss or unmanageable financial risk</li> <li>Reputational loss</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>Effective project/activity management in place</li> <li>Clear governance structures</li> <li>Project/initiative finances clearly incorporated within College financial strategy and plans</li> <li>End of project and exit/contingency planning</li> </ul>	3	2	6	<ul style="list-style-type: none"> <li>Regular project updates at Executive/Board level</li> <li>Monitoring of project activities, plans and outcomes</li> <li>Budget reporting and management</li> </ul>	Principal, VPC&A

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	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood		Score
<b>2</b>	<b>Financial</b>								

<b>2.1</b> <b>F&amp;P</b>	Change in SFC Funding Methodology and Allocation – Reduction in Funding	3	3	<b>9</b>	<ul style="list-style-type: none"> <li>Negotiation/influence at national level</li> <li>Contingency plans for reduced funding</li> </ul>	2	3	<b>6</b>	<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
<b>2.2</b> <b>F&amp;P</b>	Failure to achieve institutional sustainability	5	4	<b>20</b>	<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	<b>12</b>	<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
<b>2.3</b> <b>F&amp;P</b>	National outcomes on salaries and conditions of service outstrip ability to pay	4	4	<b>16</b>	<ul style="list-style-type: none"> <li>Influence within Employers Association</li> <li>Management of staffing expenditures</li> </ul>	4	3	<b>12</b>	<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

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	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood		Score	Monitoring
<b>2</b>	<b>Financial (cont)</b>									
<b>2.4</b> <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> <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>
	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</b>									
<b>3.1</b> <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> <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> <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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Post Holders					Score	Impact	Likelihood
ELT	Executive Leadership Team	Prin	Principal				
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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>3.4</b> <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> <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> <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

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			Monitoring	Lead Responsibility	
	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood			Score
<b>3</b>	<b>People and Performance (cont.)</b>									
<b>3.7</b> <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> <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, HoICT
<b>3.9</b> <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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Risk Number & Committee	POTENTIAL CONTRIBUTING FACTORS			TREATMENT	POST MITIGATION EVALUATION			Lead Responsibility		
	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood		Score	Monitoring
<b>3</b>	<b>People and Performance (cont.)</b>									
<b>3.10</b> <b>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
<b>3.11</b> <b>HRD</b>	Difficulties with implementation of structural change leading to: <ul style="list-style-type: none"> <li>Loss of good, flexible and committed staff</li> <li>Loss of critical staff during period of transition</li> <li>ineffective post-restructure arrangements</li> </ul>	4	3	15	<ul style="list-style-type: none"> <li>Effective planning and scheduling of change</li> <li>Managed transitions/handovers</li> <li>Implementation Plan</li> <li>Contingency Planning</li> <li>On-going focus on core business requirements</li> </ul>	3	2	6	<ul style="list-style-type: none"> <li>Regular union/management dialogue</li> <li>Monitoring of implementation plans</li> <li>Performance measures/ reporting</li> <li>Open communication with staff</li> </ul>	VPP&P VPC&A
<b>3.12</b> <b>Board</b>	Unsuccessful or inappropriate recruitment to Principal role impacts negatively on College activities and /or outcomes	3	3	9	<ul style="list-style-type: none"> <li>Clear role requirement, expectations and specification</li> <li>Effective recruitment and selection arrangements</li> <li>Engagement of Board, Students, Staff and Stakeholders within the process</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Board and Board Chair reporting/oversight</li> <li>Appropriate induction and development</li> <li>Probationary arrangements</li> <li>Performance measures</li> </ul>	Board Chair

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	HoICT	Head of ICT	2	Minor	Unlikely
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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
<b>4</b>	<b>Infrastructure</b>									

<b>4.1</b> <b>A&amp;R</b>	Disasters – eg Fire, MIS Failure, Failure of Emergency Procedures	5	4	<b>20</b>	<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	<b>5</b>	<ul style="list-style-type: none"> <li>• Business Continuity Plan including scenario testing</li> </ul>	Prin & VPCS
<b>4.2</b> <b>F&amp;P</b>	Failure to achieve ambitions of ICT strategy; strategy and development is ineffective	4	3	<b>12</b>	<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	<b>8</b>	<ul style="list-style-type: none"> <li>• Regular review/reporting on milestones, systems effectiveness etc</li> <li>• Regular CPD</li> </ul>	VPC&A, HoICT
<b>4.3</b> <b>A&amp;R</b>	Breach of ICT/Cyber security	4	3	<b>12</b>	<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	<b>8</b>	<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, HoICT
<b>4.4</b> <b>A&amp;R</b>	ICT infrastructure fails to support effective data security / data protection	5	3	<b>15</b>	<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	<b>8</b>	<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, HoICT

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



# STRATEGIC RISK REGISTER COVID 19 SPECIFIC MITIGATIONS

2019 - 2020

As at April 2020

<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			Lead Responsibility	
	Risks	Impact	Likelihood	Score	Additional COVID 19 Mitigation Actions	Impact	Likelihood		Score
<b>1</b>	<b>Strategic and Structural</b>								

<b>1.1</b> <b>LT&amp;Q</b>	Failure of College strategy to meet the needs of the D&A Region and/or national priorities (eg Employability, DYW, attainment, articulation)	4	4	<b>16</b>	<ul style="list-style-type: none"> <li>Regular strategic analysis and assessment of need for change</li> <li>Strong engagement with government and key partners – influencing national priorities</li> <li>Clear prioritisation of activities</li> <li>Focus on core business</li> </ul>	4	3	<b>12</b>	<ul style="list-style-type: none"> <li>Regular monitoring of recruitment, retention, ROA Outcomes and key strategic needs by SLT and reporting to Chairs</li> <li>Amendment of strategic direction/ plans</li> <li>Rolling curriculum, activity and priority review and implementation of new approaches/services where needed</li> <li>Engagement with government and other partners</li> </ul>	Prin & Chair
<b>1.4</b> <b>Board</b>	Difficulties or over commitment arising within large scale/national College led initiatives or projects impact negatively on: <ul style="list-style-type: none"> <li>Ability of the College to meet key regional strategies/objectives</li> <li>Financial loss or unmanageable financial risk</li> <li>Reputational loss</li> </ul>	4	3	<b>12</b>	<ul style="list-style-type: none"> <li>Clear prioritisation of activities</li> <li>Effective project/activity management in place</li> <li>Strong engagement with partners/funders</li> <li>Clear governance structures</li> <li>Project/initiative finances clearly understood and reviewed regularly</li> <li>Project cessation, pausing or contingency planning in place</li> </ul>	4	2	<b>8</b>	<ul style="list-style-type: none"> <li>Regular project updates at Executive/Board level</li> <li>Monitoring of project activities, plans and outcomes</li> <li>Budget reporting and management</li> </ul>	Principal, VPC&A

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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
<b>2</b>	<b>Financial</b>									
<b>2.2</b> <b>F&amp;P</b>	Failure to achieve institutional sustainability	5	4	<b>20</b>	<ul style="list-style-type: none"> <li>Protection of funding through dialogue with government, SFC and other funders</li> <li>Robust and effective budgetary control</li> <li>Where required, swift action to implement savings</li> <li>Increased focus on cash position</li> </ul>	4	4	<b>16</b>	<ul style="list-style-type: none"> <li>Monthly monitoring of budgets</li> <li>Engagement with government and other partners</li> <li>Detailed monitoring of savings programmes</li> </ul>	VPCS
<b>2.4</b> <b>A&amp;R</b>	Financial Fraud	4	3	<b>12</b>	<ul style="list-style-type: none"> <li>Revised financial controls: segregation of duties and review of transactions.</li> <li>Review of impact of changes in ways of working, authorisation arrangements</li> <li>Whistleblowing arrangements</li> </ul>	3	3	<b>9</b>	<ul style="list-style-type: none"> <li>Continuous review of financial controls and revised arrangements</li> </ul>	VPCS

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	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Lead Responsibility
<b>3</b>	<b>People and Performance</b>									
<b>3.1</b> <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 input and engagement with revised quality arrangements and priority actions</li> <li>Rigorous CPD arrangements in place to support new ways of working</li> <li>Regular learner feedback and engagement arrangements</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li>Comprehensive monitoring of engagement of learners in learning (where possible)</li> <li>Engagement with revised quality arrangements</li> <li>Outcome monitoring</li> </ul>	VPC&A, VPP&P, DirC&A
<b>3.2</b> <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>Engagement and communication strategy with compliance bodies</li> <li>Clear input and engagement with revised quality arrangements and priority actions</li> <li>Prioritisation of activities/outcomes</li> </ul>	3	2	6	<ul style="list-style-type: none"> <li>Effective internal monitoring/review/verification arrangements</li> <li>Engagement with revised quality arrangements</li> <li>Outcome monitoring/recording</li> </ul>	VPP&P, VPC&A

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	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood		Score	Monitoring
<b>3</b>	<b>People and Performance (cont.)</b>									
<b>3.4</b> <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 supporting and promoting health, safety and wellbeing when WFH and/or on-site</li> <li>Enhanced awareness of challenges/support needs</li> <li>Extensive CPD arrangements in place – Home Working Hub</li> <li>Regular staff and learner feedback arrangements</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li>Regular employee engagement monitoring</li> <li>Maintaining and reporting on social distancing measures</li> <li>Open communication with staff</li> <li>Monitoring of formal and informal feedback – student and staff feedback</li> <li>Regular union/management dialogue</li> </ul>	VPP&P, VPCS
<b>3.5</b> <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	3	12	<ul style="list-style-type: none"> <li>Positive marketing plan</li> <li>Regular stakeholder engagement</li> <li>Social media engagement and monitoring arrangements</li> </ul>	Prin DirC&A

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	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood		Score	Monitoring
<b>3</b>	<b>People and Performance (cont.)</b>									
<b>3.7</b> <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 engagement and support</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>Regular union/management dialogue</li> <li>Open communication with staff</li> <li>Effective management engagement and support</li> </ul>	VPP&P
<b>3.8</b> <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>Additional awareness raising of WFH risks</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 awareness raising</li> <li>Effective information and data security policies in operation</li> <li>Regular data security monitoring/testing</li> <li>Staff CPD</li> </ul>	VPC&A, HoICT

**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	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			Responsibility		
	Risks	Impact	Likelihood	Mitigation Actions	Impact	Likelihood	Score			
<b>4</b>	<b>Infrastructure</b>									
<b>4.3</b> <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> <li>Additional awareness raising of WFH risks and COVID related 'scams'</li> </ul>	4	2	8	<ul style="list-style-type: none"> <li>Staff awareness raising/CPD on cyber security issues</li> <li>Regular security monitoring/testing</li> <li>Cyber resilience plan</li> </ul>	VPC&A, HoICT





**Human Resources and Development Committee**

**Thursday 7 May 2020**

**PAPER D**

**HR Metrics**

# BOARD OF MANAGEMENT

## Human Resources and Development Committee Thursday 7 May 202



### 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	<b>421</b>	<b>48.1%</b>	413	Teaching	<b>281.7</b>	<b>47.2%</b>	279.03
Other	<b>454</b>	<b>51.9%</b>	482	Other	<b>315.5</b>	<b>52.8%</b>	324.98
Total	<b>875</b>		895	Total	<b>597.2</b>		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	<b>183:1</b>	181:1	Total Credits: Teaching Staff FTE:	<b>388:1</b>	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.

	12 months to 28/04/20	12 months to 30/04/19
Average working days lost per headcount	6.01 days	7.35 days
Working time lost	2.31%	2.83%
Comparison with sector/national rates		
UK All Sector rate (CIPD 2016)		3.3%
UK Public Sector rate (Unison 2016)		3.4%

Absence Analysis	12 months to 28/04/20	12 months to 30/04/19
Long Term Absences (4 weeks or more)	133	112
Short Term Absences	556	859
Stress Related Absences – Work related	20	14
Stress Related Absences – Non-work related	49	91

### Other HR Metrics

	2019/20 to Date	2018/19 Full Year
Staff Turnover Rate (non-forced)	4.63%	6.19%
Employee Hearings		
Discipline	2	3
Grievance	4	3
Tribunal Actions	0	0
Recruitment Exercises	87	119
Current Vacancies	2	

### 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	352	730
Number of attendances at internal and external CPD events per employee headcount	1.53	1.81

<b>Organisational Development budget per employee headcount</b>	-	£192
<b>Engagement survey ratings (annual/periodic)</b>	<b>Survey to run in Oct/Nov 2021</b>	Engagement 80% Happiness 69%
<b>Employees participating in College-wide strategy and working groups % of employee headcount</b>	12%	12%
<b>Employees with health and safety certification (this is in addition to mandatory obligations - all new employees have H&amp;S briefing)</b>	<b>See H&amp;S Annual Report</b>	See H&S Annual Report
<b>Employee benefits take up rates</b>	<b>All staff registered</b>	All staff registered

## Induction

<b>Induction 2019/20</b>	<b>New Starts</b>	<b>Not Started</b>	<b>In progress: On Track</b>	<b>In progress: Behind</b>	<b>Completed</b>	<b>Total</b>
<b>Academic</b>	41	0	23	0	18	41
<b>Support</b>	32	0	18	0	14	32

## 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

**Author:** Cheryl Hewitt, HR Advisor/Colin Lynagh, Business Intelligence Officer  
**Executive Sponsor:** Steve Taylor, Vibe Principal People and Performance



**Human Resources and Development Committee**

**Thursday 7 May 2020**

**PAPER E**

**Meeting Minutes / Updates**

JCF – Friday 17 January 2020

JCF – Friday 6 March 2020

# JOINT CONSULTATION FORUM

Friday 17 January 2020



Draft Minute confirmed by Chair

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**PRESENT:** Grant Ritchie (GR) Simon Hewitt (SH)  
Steve Taylor (ST) Jaki Carnegie (JC)  
Nick Steff (NS) Yvonne Cargill (YC)  
Alan O'Neill AO) David Travis (DT)  
Gregor McGillivray (GMcG) George McAteer (GMcA)  
Abi Mawhirt (AM)

## Action

### 1. Apologies

Apologies were received from Jennifer Dick.

### 2. Minute of Last Meeting

The minute of the meeting held on 8 November 2019 was approved.

### 3. Matters Arising/Actions

#### 3.1 Structure Queries

No further queries had been received from S Brown.

#### 3.2 Payroll Arrangements

AM noted that Payroll will create a glossary of payslip abbreviations, however this had been delayed due to absence and early Dec / Jan payrolls. AM will liaise with Payroll to progress.

AM

#### 3.3 Support Job Evaluation

NS queried the outstanding evaluations, with AM confirming all were now received. NS noted that national evaluation had begun.

#### 3.4 Support for Staff Affected by Restructure

AM and GMcG met prior to Christmas to discuss arrangements and it had been agreed that Jane Cooper (JC) would provide information and support as appropriate.

AM

#### 3.5 Staff Safety/Violence in the Workplace

Following discussion at the Health, Safety and Wellbeing Committee, it had been agreed that a wider review was needed to look at information and guidance for staff, to update student behaviour management policy and to support wider staff development and good practice sharing. ST would oversee this review.

The growing impact of drug use on students and the wider College was noted. SH noted that ongoing work with the Drugs Commission in terms of these issues and ST noted that there was increased support being provided to students.

All other actions had been progressed, or were included on the agenda.

#### **4. Group Feedback / Progress**

##### **4.1 Off Site Working: A O'Neill**

ST noted that meetings have taken place with AO'N, GMcG and AM, and good practice guidance had been developed, almost in its final draft. It was confirmed that awareness sessions on this (and other similar line management topics) would be scheduled with promoted academic and support staff to disseminate the output.

**AM**

##### **4.2 Organisational Change**

ST and NS noted that following a meeting with JD, a guidance note had been developed and was in final draft. It was noted that EIS representatives may be interested in this as well.

##### **4.3 Communication – Service Design Event**

JC noted that GMcG ran an excellent service design session in Quality Week to progress this work. JC noted that user research at Gardyne was reassuring in that most people used the Portal and were looking for general interest information, along with relevant but not highly detailed announcements. The feedback was based on 44 responses, therefore AO'N's Friday Focus this week is dedicated to the output and encouraging further responses to the survey. Further meetings of the group were planned.

##### **4.4 Transfer to Permanency**

ST confirmed he has been meeting with DT, GMcA and AM and the group pulled together a proposal which had been discussed with the local EIS-FELA branch. ST will arrange follow up meetings to progress and finalise proposals. The group of staff remaining for review will be those with an established and a separate non-established contract.

**ST**

##### **4.5 Group Tutor Support**

AO'N outlined there are two phases to this work, firstly reviewing support and resources already available, including a clearer remit. The MyLearning course with resources has been updated and the toolkit brought on board. Phase 1 work will be communicated out by the end of January 2020. The second phase will look at development of the role overall, with involvement from a wide range of staff. SH noted that support teams would also receive communication regarding the role to support their work.

**SH/AO**

##### **4.6 Teaching Weeks**

SH highlighted his appreciation for the approach of those involved in this review, and the work that has gone in to the work. Significant work has gone in to assessing the options and calculating the finances related. The group should be ready to present back at the next JCF.

**SH/AO/  
GMcG**

##### **4.7 Post-Restructure Actions**

YC confirmed that the proposed arrangements for follow-up meetings on the restructure had been accepted. ST confirmed that dates for these meetings would now be confirmed.

**ST**

#### **4.8 Recruitment and Selection Review**

JC noted that a meeting before Christmas identified themes to work on, as it was agreed the Recruitment and Selection policy is fit for purpose as is. In January, the group identified the challenges and the initial options for action. These would be considered further at the next meeting of the group.

### **5. Union Items**

#### **5.1 Health and Safety in Esk and Calc Building**

YC raised an issue regarding use of gloss paint to redecorate rooms whilst classes were taking place. Concerns were also noted in terms of windows within the upper floors of the Esk building.

YC

The feedback and reporting channels for H&S concerns were discussed, and it was noted that any issues or concerns should be picked up through the Estates team in the first instance and issues escalated to B Grace or then J Carnegie if these were not resolved through the normal channels.

### **6. National Bargaining**

GR noted that there was little forthcoming on a national level. ST noted that the next round of pay discussions would commence relatively soon for the September 2020 settlement date. It was noted that work on Support Job Evaluation had commenced.

### **7. Kingsway Campus Development**

JC summarised work being undertaken on the Kingsway Campus Development. Plans for a STEM Centre at Kingsway were being developed through an initial Outline Business Case (OBC), which would then be processed through Scottish Government channels. This was likely to take at least a year to reach the next stage and potentially a final business case.

In addition to this work, an approach the D&A Foundation was planned to provide funding to modernise the interior of the Kingsway Tower. JC took the group through a presentation outlining further plans for the Kingsway site over the next 20 years.

YC raised a query around maintenance and developments required at Arbroath Campus and GR confirmed that a range of activity would also take place at Arbroath (and to a lesser extent Gardyne) as a result of the Tay Cities Deal. SH also noted that the College's annual capital maintenance grant would continue to support on-going campus repairs and development. It was noted that work with the Michelin Innovation Parc Scotland was also a part of the overall capital development picture.

Discussion regarding student recruitment and numbers across all campuses (and Arbroath specifically) took place. GR noted that numbers overall were okay, but that recruitment was getting tighter. It was noted that numbers at Kingsway had declined at a steeper rate than other campuses. ST highlighted that all colleges were struggling more to recruit and that D&A was faring well compared to others. It was noted that demographic changes, national policy changes and changes in local economic needs were underpinning this and that it was important that the College curriculum kept pace with these changing needs.



**8. College Finances**

JC explained that the SFC and Board require a budget at the meeting in May for the following session, however this is well before recruitment was known or understood for the year ahead. JC noted that the budgeting process was already difficult given the number of variables and unknowns.

An updated budget was presented to the Board in November 2019, with the update projecting a cash-backed surplus sufficient to cover the loan repayment. The Board papers for next week's meeting Finance & Property Committee meeting noted some changes in the surplus forecast, with this declining from £604k to £526k on a c.£40 million overall budget. JC noted that a number of factors had impacted on this, including various pay elements and an increase in costs for sickness absence. YC asked for clarification on the sickness absence figures and it was noted that the increased costs involved were c. £53k and related to a small number of long-term absences. ST advised that the overall College staff absence figure was just over 3% where the national average is around 3.5% and public sector average c.5.5%. Discussion took place around the possible responses to this and supporting staff where possible to be at work.

JC outlined that the key factor impacting on the budget in all years was ensuring viable class sizes and efficient timetabling, noting that January recruitment will be important in this. GR noted that the credit count for the year was expected to be met, but that it was less likely than in previous years that the college would be able to take any additional credits that may be available.

**9. Future Term Dates**

The group reviewed the proposed term dates and agreed them. ST will communicate out.

**10. Policy Review Group**

AM noted that the next meeting would take place on 24 January 2020.

**11. Principal Recruitment**

ST highlighted that Veredus have been appointed as the recruitment company running the Principal recruitment. An announcement on this was on the staff portal.

**12. AOCB**

**12.1 Learning Reps**

YC raised the discussion started with ST regarding remission for Learning Reps. S McAvoy has a document discussed between her and Helen Archibald regarding arrangements for learning reps. It was noted a signed copy does not exist. ST queried the document and YC confirmed it would be resent to ST.

YC

**12.2 Absence Policy**

AO'N queried whether an equalities impact assessment had been conducted on the staff absence management policy. ST would check and confirm.

ST

**13. Date of Next Meeting**

Friday 6 March 2020

## JOINT STATEMENT UPDATE JANUARY 2020

Key Step	Timeline	Responsibility	Progress as at November 2019
1. A 'Service Design' event with academic, Support and management members of the Joint Consultation Forum will be held to identify improvements in communications across College and improvements in joint working between the College and unions.	End November 2019	Jaki & Gregor	Arrangements progressed and work being undertaken. Proposals to be developed
2. In addition to the normal JCF meetings, four meetings will be held to consider on-going feedback/comments on the operation and embedding of the new structure.	November 2019 – August 2020	Steve & Yvonne	Remit finalised and meeting dates to be identified.
3. In recognising the personal and professional impact that major structure changes can have on individuals, we will offer support opportunities and contact and provide further support for staff impacted by structure changes. The wellbeing of staff during periods of change will remain as a priority.	Immediate	Abi	Initial contact made with identified individuals. J Cooper to support discussions/support arrangements as appropriate.
4. Currently available CPD and other support for Group Tutors will be signposted to all current Group Tutors.  The development of further information, support and CPD for Group Tutors will progress as a part of the post-restructure CPD plans with input from the Group Tutor Special Interest Group.	Immediate  November 2019 & on-going	Abi  Alan, Simon, Christine Calder	SLWG has been established with both short term and long term goals. Work progressing well.  Stage 1 to be completed by end January. Further work to commence thereafter.
5. A review of the application of the current recruitment and selection policy and procedures will be undertaken by the Policy Review Group.	December 2019	Abi & Yvonne	Work progressing.
6. Future week spans and term dates will be considered by the Timetable policy group and recommendations made.	End December 2019	Simon & Alan	Work progressing to be reported back to JCF at March 2020 meeting.
7. Evaluation of the structure changes will form a part of the planned staff survey early in session 2020/21. JCF members will input to the final survey.	November 2020	Abi & JCF	To be picked up and planned through item 2

# JOINT CONSULTATION FORUM

Friday 6 March 2020 at 2.00pm  
Seminar Room 5, Arbroath Campus



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**PRESENT:** Grant Ritchie (GR)  
Steve Taylor (ST)  
Nick Steff (NS)  
Alan O'Neill AO)  
Gregor McGillivray(GMcG)  
Abi Mawhirt (AM)  
Dougie Deans (DD)

Simon Hewitt (SH)  
Jaki Carnegie (JC)  
Yvonne Cargill (YC)  
David Travis (DT)  
George McAteer (GMcA)  
Karen Buchan (KB)  
Jennifer Dick (JD)

## 1 Apologies

Apologies were received from Alex Williamson.

## 2 Minute of Previous Meeting

The minute of the meeting held on the 17<sup>th</sup> of January was approved.

## 3 Matters Arising/Actions

### 3.1 Esk Building H&S

Windows in the Esk building have been checked and work is now underway. J Carnegie noted that this had not been raised with Caretakers and reiterated that estates concerns should be raised with the the relevant department in the first instance and escalated only where this is necessary.

### 3.2 Learning Rep Remission

Y Cargill was to forward S Taylor documents relating to EIS Learning Rep remission. Y Cargill met with S McAvoy about this and will ensure Documents are forwarded to S Taylor.

YC

## 4 Group Feedback/Progress

### 4.1 Off Site Working

S Taylor outlined the discussion had to pull together the guidance provided. Y Cargill noted that the examples would be a good opportunity to highlight other support, such as the Carers policy. D Travis noted the importance of considering the wellbeing of staff in decision making. EIS reps agreed this would be discussed at Branch level and feedback provided by Fri 3<sup>rd</sup> April.

EIS

### 4.2 Organisational Change

S Taylor noted a final draft had been circulated to N Steff and J Dick. S Taylor will recirculate draft.

ST

### **4.3 Communication Service Design**

The group held a meeting prior to the JCF meeting. A range of actions were agreed around the new Portal, developing communications etiquette, LDF training and how to capitalise on the positives from the cyber incident. It was noted that the SLT being available across campuses was well received through the disruption associated with the cyber-attack.

GMc  
G/JC

### **4.4 Transfer to Permanency**

S Taylor confirmed that a meeting took place last week, with most of the guidance around TTP in place. The main current piece of work is confirming hours for those with four years plus variable hours, with the data to be pulled together shortly. The reporting mechanism for the Payroll system was affected by the cyber incident, along with the report that would allow information to come from Celcat therefore there has been a delay in obtaining the data set. It is hoped the Data Set will be obtained and reviewed the week of the 9.3.20.

ST

### **4.5 Group Tutor Support**

A O'Neill confirmed that the first phase of Group Tutor development was completed this week, which included updating the remit and supporting links. Phase 2 is now commencing and staff have been asked to provide input, with sessions scheduled to the end of March. N Steff asked for confirmation that Phase 2 work would be ready for the new academic session, with S Hewitt confirming the key work would be completed in this timeline. Discussion took place around the complexities of the Group Tutor role.

### **4.6 Teaching Weeks**

S Hewitt outlined the work undertaken so far and noted that final draft of the compiled report was sent prior to the cyber incident. The group will check the report and issue to JCF members, then follow up discussion will take place at the next JCF meeting.

### **4.7 Restructure Feedback and Embedding**

Meeting dates have been scheduled for reviewing the restructure and taking feedback.

### **4.8 Recruitment & Selection Policy**

J Carnegie noted that the group have met three times. K Buchan is now updating the policy with minor amendments. J Carnegie is drafting the narrative into a storyboard so anyone can review and understand the work undertaken. A range of actions will follow around protocols, training and development and simple changes to practice which will be made available to JCF.

## **5 Union Items**

### **D&A Charter and D&A Values (A O'Neill)**

A O'Neill raised a query regarding signing a 'D&A charter' or similar.

It was noted this related to a particular issue in a specific area, and that the issue raised could be discussed outwith JCF to provide clarification on points raised.

KB

## **6 Cyber Incident Update**

J Carnegie outlined the operational response to the cyber incident. The SLT led on this with the support of Sam Stirling (Learning and Digital Resources Manager). The Update Site was used to keep in communication with staff. J Carnegie noted that there was significant external scrutiny from Scottish Government, Cyber Resilience teams etc., with Police Scotland also involved. The feedback from external stakeholders has been very good in terms of our response.

J Carnegie highlighted that the recovery is an ongoing process and we will continue to manage people's expectations alongside the inevitable frustrations. At the Board meeting in March, the business continuity report will be presented alongside a technical report.

Y Cargill noted that the meeting held with unions on the Monday after the incident was very positive and reassuring regarding getting students through their courses, however the message in curriculum areas regarding student completions has been different. S Taylor, S Hewitt and G Ritchie noted that the message from SLT has been that review should take place on what is needed. S Taylor outlined the discussions with teaching teams, SQA and others about resolving outstanding issues.

Concerns were raised regarding the rebuilding of PCs at Arbroath campus, and the decision to be open to students on the Thursday. The Exec team noted that a range of views were sought in decision making and the overwhelming feedback was getting students back on campus was a priority. It was noted that over 90% of all machines had been rebuilt at the time the decision had been made, but that there was some confusion around notices on rooms. J Dick stated that she had heard that there was a different priority for machine rebuilds in Arbroath. It was noted that this was not accurate.

D Travis asked for confirmation of the external agencies involved in the review; S Hewitt noted that JISC, the College's shared Chief Information Security Officer (CISO) and the National Cyber Security Centre (NCSC) have all been involved and already provided support, advice and recommendations.

S Hewitt explained the technical development of the virus which encrypted files, and the knock on effect of checking affected backups being a time consuming process. S Hewitt noted that there was a cost / benefit analysis to be considered on the ongoing attempts to pick through backups and the relative success of this.

D Travis stated that there had not been acknowledgement of the impact on staff and workload. S Taylor highlighted the content of the staff briefings

which covered a wide range of acknowledgments, including the immediate and on-going impact on staff and students.

D Travis queried the backup protocols, first raised by J Dick. S Hewitt confirmed that the backup process used passed both Cyber Essentials Plus and the Cyber Security audit.

D Travis asked if it was true that the Cabinet Secretary had ordered the College to re-open on 6 February. G Ritchie stated that it was not.

S Hewitt noted that external partners have been very supportive and many have offered help. There were a number of recommendations from the Jisc report that could assist us in minimising risk, noting that it is not possible for any organisation to fully mitigate the risk of an attack of the type suffered. S Hewitt highlighted that a number of the recommendations relate to ways of working and how different departments have done things.

S Hewitt noted that as part of ongoing work to ensure we are making systems like VDI more secure, multi-factor authentication will be rolled out. This would make arrangements more complex, but was necessary to improve security.

SH /  
AM

A O'Neill requested that training on cyber security for staff be rolled out fully and consideration be given to embedding training into all student courses. This need was recognised.

S Hewitt confirmed that information would be provided to managers on ongoing communication approaches and to clarify points raised.

## **7 COVID-19 (Coronavirus) Update**

JC/S  
T

J Carnegie noted that a business continuity team has been established and agreed the communication that went out to all staff this week. All protocols and guidance issued are coming from SFC guidance for educational settings, which is based on Scottish Government and NHS advice. All guidance given and approaches taken by the College will be based on this national guidance.

The group will be monitoring and reviewing guidance and will respond accordingly. Cleaning priorities have been amended as per guidance, and public information is available on all campuses, with the focus on good hygiene. The group is focused on maintaining a state of readiness, avoiding concern and panic.

J Dick queried how ready VDI would be ready for teams in case of requirement to work offsite. S Hewitt confirmed that there is a planned roll out underway and once staff are using multi-factor authentication they can access VDI remotely.

S Taylor noted that International activity through mobilities and projects are being monitored. It was also noted that with April holidays coming up, staff should make their managers aware of any travel plans to aid contingency planning where needed.

## **8 National Bargaining**

S Taylor noted that D&A were to be next on the list for job evaluations, and therefore queries may start to come in about the questionnaires. This date had, however, been pushed back on the basis that (at present) managers are unlikely to be able to field job evaluation queries with current workload.

### **8.1 GTCS Pilot**

G Ritchie noted that D&A has confirmed it will take part in GTCS' lecturer registration pilot, with some data sharing issues to be reviewed prior to the pilot starting.

## **9 College Finances**

J Carnegie noted that income has been lost as a result of the cyber incident, particularly through less catering sales and staff time. Discussions with the insurer are ongoing in terms of costs recovery. At present most variances in the budget are negative and this will be reported to the Board at the next meeting in March.

It is likely the year end position will be reduced. Following loss of files, the management accounts up to the end of January became available this week. It was noted that issues with £77k of ESF funding from 2015/16 and loss of £30k income from catering services had impacted the financial position.

## **10 Policy Review Group**

The meeting scheduled following the cyber incident was cancelled, as paperwork relevant to the meeting was lost. The next meeting is scheduled for 26<sup>th</sup> March 2020.

## **11 AOCB**

### **11.1 Violence and Aggression Against Staff (Y Cargill)**

Y Cargill noted this was an issue in particular areas at present and requested that this was picked up as an action. S Taylor noted that there is a Student Behaviour Working Group reviewing the policy for students.

A Mawhirt confirmed that a copy of policy documents had been received from G McAteer, and K Buchan and A Mawhirt were reviewing content of the documents alongside the existing Dignity at Work policy.

D Travis noted that an issue with violence between students highlighted the need for clarity around protocols. Y Cargill highlighted the importance of staff recording incidents of violence.

### **11.2 JCF Start Time**

J Dick queried whether the start time of the JCF meeting could be brought forward. The group agreed to commence the next meeting at 1.30pm. This was agreed.

