BOARD OF MANAGEMENT

Human Resources and Development Committee

Thursday 12 November 2020 at 5.00pm
Microsoft Teams

AGENDA

1.	**WELCOME**		
2.	**APOLOGIES**		
3.	**DECLARATIONS OF INTEREST**		
4.	**MINUTE OF THE PREVIOUS MEETING** – 17 September 2020	Paper A for approval	
5.	**MATTERS ARISING**	Paper B for noting	
6.	**COVID 19 UPDATE ON HEALTH & SAFETY, LEADERSHIP, WAYS OF WORKING & COMMUNICATION**	Verbal update	BG/AM
7.	**STAFF PULSE SURVEY**	Paper C for information	AM
8.	**VP PEOPLE AND PERFORMANCE REPORT**	Paper D for information	ST
9.	**NATIONAL BARGAINING UPDATE**	Verbal update	ST
10.	**STRATEGIC RISK REGISTER**	Paper E for approval	ST
11.	**HR METRICS**	Paper F for information	ST
12.	**MEETING MINUTES/UPDATES**	Paper G for noting	

- Joint Consultation & Negotiation Forum
- Health, Safety & Wellbeing Committee

13. **DATE OF NEXT MEETING** – Thursday 18 February 2021

Human Resources and Development Committee

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PAPER A

Minute of the Previous Meeting – 17 September 2020

BOARD OF MANAGEMENT

Human Resources and Development Committee
Thursday 17 September 2020

Draft confirmed by Chair

Minute of the Human Resources and Development Committee meeting held on Thursday 17 September 2020 at 5.00pm via Teams.

PRESENT:	P Milne	D Fordyce	
	D Mackenzie	K Keay	
	T Pirie	B Carmichael	
	S Stirling	S Hewitt	

IN ATTENDANCE: S Taylor (Vice Principal)   B Grace (Head of Estates)
M Sanderson (Executive Secretary)   A Mawhirt (Head of People & OD)
J Howie (observer undertaking Board Evaluation)

1. **WELCOME**

   P Milne welcomed members to the meeting.

2. **APOLOGIES**

   Apologies received from G Bissett and J Carnegie.

3. **DECLARATIONS OF INTEREST**

   There were no declarations of interest.

4. **MINUTE OF THE PREVIOUS MEETING – 7 May 2020**

   Minute of the previous meeting was approved as an accurate record.

5. **MATTERS ARISING**

   The matters arising were reviewed.

   B Carmichael updated the Committee and noted that 422 Staff Development Reviews had been carried out.

   S Taylor noted the outcome carried over from the Audit & Risk Committee and asked the Committee if they would like to metrics on engagement with safeguarding training. The Committee confirmed that this would be a useful addition to the Board metrics. **A Mawhirt to progress.**

   D Mackenzie asked if staff were using their holiday allowance especially if they are working from home. S Taylor noted that staff were, and that conversations were taking place around holiday arrangements.

6. **COVID 19 ARRANGEMENTS FOR HEALTH & SAFETY, INFRASTRUCTURE, LEADERSHIP, WAYS OF WORKING & COMMUNICATION**

A Mawhirt and B Grace provided the Committee with a presentation on COVID Arrangements (copy enclosed)

A Mawhirt noted that Leadership Development Forum meetings were recorded, to ensure that all managers had access to important information relating to COVID 19 guidelines. A Mawhirt also noted that staff are being provided with step by step guidance as national policy and guidance could change rapidly.

A Mawhirt highlighted that communications sent to all staff, were send to the Leadership Development Forum and Trade unions first so they are prepared to support staff if needed. There was also a consultation email address for staff to raise any concerns directly with the Executive Team. Daily "Check-in's" also take place at 4pm with Senior Leadership Team, unions, Student Association and Leadership Development Forum.

P Milne asked what percentage of staff were working from home and back on campus. A Mawhirt noted that the majority of staff were working from home and would be delivering classes remotely, with a small number of teams back on campus.

P Milne asked if all students would have the ability and technical abilities to work remotely. S Hewitt noted that this was a problem across the sector and stated that a limited number of laptops were available. It was noted that many students did not have a safe or reasonable place to study and that safe study zones had been created on campus for students to come into campus and study out with the home environment.

P Milne asked if staff have expressed concerns with regards to coming back to campus. A Mawhirt noted that the feedback overall from staff had been positive and staff have been required to complete an individual risk assessment process before returning. S Taylor noted that the College had updated their risk assessment in line with the new Scottish Government guidance.

P Milne asked if procedures were in place if a student or member of staff tested positive for COVID 19. S Taylor noted that J Carnegie and he had met with the NHS Health Protection Team and outbreak management procedures were in place. It was noted that all staff and students on campus were covered by a booking or timetable system so the College knew exactly who is on campus at any given point. P Milne asked if the College was promoting the Scottish Governments Track and Trace app, S Taylor confirmed that they were and information on this was being pushed out through the staff portal and at student's inductions. A Mawhirt also highlighted that staff have been asked to update their contact details to ensure that these were accurate.

B Grace provided a presentation to the Committee, in relation to the Health and Safety measures in place for Students and staff returning to campus (copy enclosed).

B Grace highlighted that the Estates team have been working throughout the summer, to continue maintenance and start COVID adaptions whilst the College was closed.

It was noted that the Estates team have developed one way systems, created and installed signage, screens and hand sanitisers throughout all campuses. This had been a huge job, was complete and had been tested by Students' Association volunteers.

B Grace noted that increased levels of cleaning were in place across all campuses, with cleaning staff now working throughout the day. Classrooms were cleaned after every class and toilets cleaned regularly. B Grace also noted that Fogging Machines had been purchased for larger teaching spaces and this would help with the quick turnaround of classes in these areas.

B Grace showed videos of campus layouts to the Committee.

P Milne noted the excellent work that has been carried out by the Estates team.

P Milne asked the College's position on face coverings. B Grace confirmed that face coverings needed to be worn in all corridors, communal areas, shared offices etc. Face Coverings have been purchased for front line staff such as caretakers, cleaners, and helpdesk staff. S Taylor noted that two Learner Engagement Assistants had been recruited for each campus. The Assistants would meet and greet students when they arrive and encourage them to wear face coverings, maintain 2m distance etc.

Committee members noted the excellent work being progressed and thanked those involved for their hard work in supporting the wide range of COVID adaptions required.

7. **VP PEOPLE AND PERFORMANCE REPORT**

S Taylor provided a summary of the report to the Committee. S Taylor noted that this included information relating to COVID 19 presentation just given.

S Taylor noted developments in respect of the furlough scheme and noted that around 100 staff were still on furlough, but that a number were due to return over the coming few days as the main teaching semester started. It was noted that the job retention scheme was due to end in October 2020 and that the College was looking at options to bring any remaining staff back to work.

D Fordyce welcomed the report and noted the excellent work from staff dealing with the Cyber-attack and now the COVID 19 pandemic.

K Keay asked if staff were engaging with the Consultation mailbox. A Mawhirt confirmed the team have received a handful of emails.

8. **NATIONAL BARGAINING UPDATE**

S Taylor highlighted that national discussions on pay were continuing, with an offer of 2% being recommended by the union for academic staff. It was noted that a similar offer for support staff had been rejected.

S Taylor noted that discussions were on-going in respect of Job Evaluation and a range of disputes, whilst at a local level work was progressing on the implementation of Transfer to Permanency.

The update was noted by the Committee.

9. **STRATEGIC RISK REGISTER**

S Taylor summarised the risk register and highlighted there was no change to the risks allocated to the Committee. P Milne noted it would be helpful to include a risk relating to the overall impact of the COVID 19 pandemic on services and outcomes. This would be discussed at the Audit & Risk Committee. **S Taylor to progress**.

S Taylor noted discussion at the Finance and Property Committee around ICT risk and the suggested addition to register as this can affect staff development, systems, learning and teaching. This would also be discussed at the Audit & Risk Committee. **S Taylor to progress**.

10. HR METRICS

This paper was noted for information. S Taylor highlighted that the first set of figures had not been updated die to staff annual leave. This would be updated and circulated to the Committee before the next meeting. **S Taylor to progress.**

S Taylor noted that a reduction in staff absence was noted, but that this was a more difficult metric to judge currently as a result of staff working from home and staff on furlough.

K Keay asked if the College have a record of how many staff members were shielding. S Taylor confirmed the College haven't recorded this data as staff had been working remotely. The arrangements for individual risk assessment were noted.

11. MEETING MINUTES / UPDATES

The minutes of the JCF and Health, Safety and Wellbeing meetings were noted.

12. DATE OF NEXT MEETING

The next Human Resources and Development Committee will take place on Thursday 12 November 2020, via Microsoft Teams.

Action Point Summary

Action	Responsibility	Date
HR&D Metrics to be updated to include completion of mandatory safeguarding training.	S Taylor	12 November 2020
Risk Register updates to be discussed with Audit & Risk Committee	S Taylor	22 September 2020
Updated staffing metric to be shared with the Committee	S Taylor	31 October 2020

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DUNDEE AND ANGUS
COLLEGE

Human Resources and Development Committee

Thursday 12 November 2020

PAPER B

Matters Arising

BOARD OF MANAGEMENT

Human Resource and Development Committee

Thursday 12 November 2020

Matters Arising

Paper for information

The following actions were noted from the Thursday 17 September 2020 HR&D Committee.

Agenda Item No	Action	Current status	Open / Closed
5.	HR&D Metrics to be updated to include completion of mandatory safeguarding training	A Mawhirt to action.	Open
9.	Risk Register updates to be discussed with Audit & Risk Committee	Discussed at meeting, changes accepted	Closed
10.	Updated staffing metric to be shared with the Committee	Included in Metrics 12/11/20	Closed

The following actions were noted from the Thursday 14 November 2019 HR&D Committee Meeting.

Agenda Item No	Action	Current status	Open / Closed
6	Completion of Development Reviews to be reported in September each year as an HR metric	Incorporated within HR Metrics	Open
12	Staff absence comparative rates to be updated as appropriate.	Updated comparators reviewed but no changes made	Closed

The following action was passed to the HR&D Committee from the 26 November 2019 Audit & Risk Committee Meeting.

Agenda Item No	Action	Current status	Open / Closed
8.3	Need for Duty of Care/ Safeguarding Reporting to HR&D Committee meeting	Agreed for inclusion in HR Metrics	Closed

Author & Executive Sponsor: Steven Taylor, Vice Principal – People and Performance

Human Resources and Development Committee

Thursday 12 November 2020

PAPER C

STAFF PULSE SURVEY

COVID-19 Pulse Survey Report October 2020

A short pulse survey ran via Peachy Mondays from 12th to 22nd May 2020. The output of this survey was published to staff with [information on the themes, and actions taken](#). The same questions were asked to all staff in October 2020 over a shorter 5 day period.

Questions

Both pulse surveys comprised of 6 questions, the first 5 utilising a 4-point Likert scale format with positively framed statements. The final question was a free text response.

Engagement

- **340** responses received (compared to 349 in May 2020)
- Of the **340** responses, **144** comments were left in the free text question (+9 from May 2020)
- Of the **144** free text comments, anonymous conversations were instigated with **124** respondents (c.86%)
- Of the **124** conversations instigated, c.**60** engaged in discussion (c.50%)

Results

Across the 4 Likert statement questions, the results are remarkably positive:
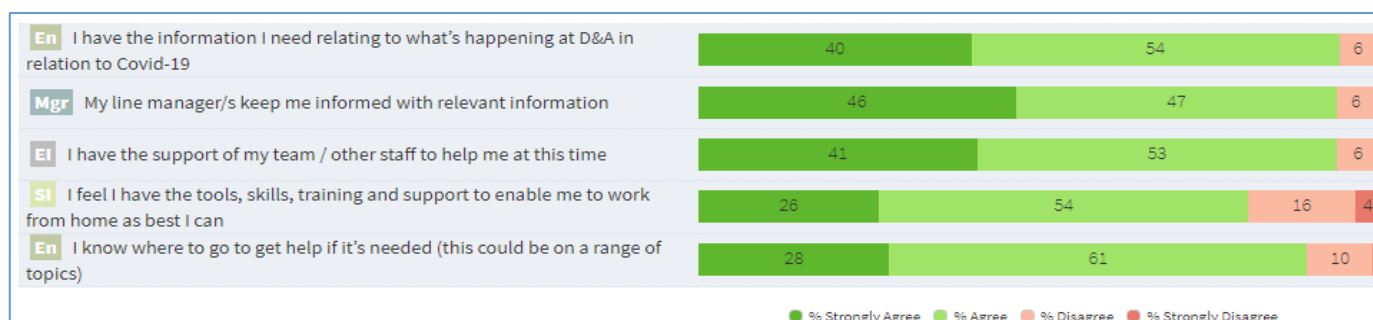
Below, the positive response percentages are outlined, along with the May 2020 percentage:

- **94%** of respondents **agree** or **strongly agree** that they have the information they need relating to what's happening at D&A in terms of Covid-19 (96% in May 2020 -2%)

- **93%** of respondents **agree** or **strongly agree** that their manager/s are keeping them informed with relevant information (92% in May 2020 +1%)

- **94%** of respondents **agree** or **strongly agree** that they have the support of their team and / or other staff to help them (94% in May 2020 – same%)

- **80%** of respondents **agree** or **strongly agree** that they have the tools, skills, training and support to enable them to work from home (84% in May 2020 -4%)

- **89%** of respondents **agree** or **strongly agree** that they know where to get help or support on a range of topics (94% in May 2020 -5%)

Free Text Responses

Of the 144 free text comments, there were 3 key themes identified: training and workload around online delivery; H&S on campus; enjoying working differently / from home. Overall, many conversations and comments highlighted wellbeing directly or indirectly. There were many compliments on how well the organisation has adapted, communicated and responded to challenges.

Actions

Whilst the overall results are very positive, it is recognised that there are significant challenges facing us all. Some of these are in our control and are 'quick fixes' whilst others will be more challenging and represent aspects where we will need to do what we can, whilst also recognising that we can't solve every issue – we are in the middle of a global pandemic and sadly life, work and learning are not the way they were.

Under the key themes, the suggestions and feedback received has informed the following actions:

Training and Workload Around Online Delivery
• Increase and continue to promote support available through L&T mentors and LDR - arrangements will focus on a team level approach, led by LDR and L&T mentors • The Delivery of Learning and Teaching workstream will be refocused to take on the broader, ongoing issues and support needs
Health and Safety Concerns and Snagging
• Complete further empathy walks for all campuses to review signage suitability and any other snags • Check / review cleaning rota processes / approaches • Ongoing positive promotion of the importance of everyone following guidelines and supporting others to do the same (video campaign and follow up support being prepared) • Monitoring via additional meetings of the Health, Safety and Wellbeing Committee
Wellbeing
• Promoting ongoing support available via the Wellbeing Hub and People Team • Working cross-College to develop virtual events for the D&A community • Continuing to offer a wide range of wellbeing training and engagement opportunities • Working with all staff on the importance of managing their personal wellbeing

Next Steps

The feedback provided has highlighted immediate actions that will be completed over the next few weeks, as well as bigger picture themes to be considered around current and future planning / approaches. It is the intention to develop meaningful practical actions that will ensure to the best of our ability that we can all feel in control of our work and as equipped as we can be to undertake the tasks at hand, as part of our supportive D&A community.

Conclusion

Similar to the engagement with the May survey, the response rate and positive responses to the statements are a good marker of employee engagement with the College. The high level positive versus negative responses remain a strong indicator that, despite the ongoing challenges that we face, the College is adapting and communicating well in current circumstances. We cannot be complacent on this, and work will continue on making the current phase as effective as we can, whilst also focusing on our future role in supporting our communities.

Human Resources and Development Committee

Thursday 12 November 2020

PAPER D

VP PEOPLE AND PERFORMANCE REPORT

BOARD OF MANAGEMENT

Human Resources and Development Committee Thursday 12 November 2020

VP People and Performance Report

Paper for information

1. Business Continuity – COVID-19

The COVID-19 Business continuity piece continues to be the major focus for the College, with significant ongoing efforts going into the Health & Safety and Communications / Ways of Working elements of this response.

An update on this work will be provided at the meeting, alongside an opportunity for Board members to ask questions and seek assurances around HR&D related arrangements as required.

A summary of this work includes the following.

Health & Safety

Work is ongoing to support positive and safe utilisation of our COVID Adapted Campuses. This has included a review of some of the initial layouts and one-way systems based on user feedback and actual ways of working. Work is on-going to continuously monitor utilisation of spaces and adherence to requirements.

Given the move into the colder months of the year, arrangements have been progressed to reinstate some (physically distanced) internal social spaces to allow students to access food and other facilities during break and lunch times. These arrangements are being overseen and managed to ensure compliance with the required arrangements.

Support continues to be provided to teams where required to assist them with the completion of risk assessments and to consider and implement adaptions as required. This includes specialist input from the Health and Safety team as well as leadership and management support from the People Team.

The daily catch up sessions with Senior Leadership Team, union, students' association and academic management staff ran through to the October break and (following review by the group) have now moved to twice weekly catch ups. These continue to provide an opportunity to feedback on how arrangements are operating 'on the ground' and to pick up on any concerns or issues before these escalate. The number of issues raised has declined significantly, but these remain an invaluable opportunity to pick up on any issues, concerns or improvement opportunities in a solution focussed way.

Outbreak Management arrangements are being operated on an 8.00 to 8.00 basis 7 days a week, to pick up on potential and actual COVID cases, including requirements to self-isolate and quarantine in line with Scottish Government guidance. The incidence of confirmed COVID cases has (thankfully) remained low, but increasing numbers of students and staff are being asked to self-isolate because of suspected cases/contact. None of these have resulted from in-College contact and to date the College has not had to declare an outbreak (which would arise from only two or more related cases).

In line with university arrangements, colleges are required to provide a weekly update to the Scottish Government on COVID related numbers. A summary of the data up to Thursday 29 October 2020 is noted below.

Total number of students and staff who have tested positive since the beginning of term					Current number of students and staff self-isolating, excluding individuals who have tested positive themselves (if known)		
Students	- of which in college maintained halls	- of which in PBSA halls	- of which outwith college and PBSA halls	Staff	Number self-isolating (excl. positive cases)	- of which students	- of which staff
20	0	1	19	2	107	97	10

A significant impact on the numbers self-isolating has been the approach adopted in schools where whole classes are asked to self-isolate when there is a suspected case.

Scottish Government Five Tier Strategic Framework

As reported to Board members, the introduction of the new 5 Tier COVID-19 restrictions within the new Scottish Government Strategic Framework, has resulted in Angus being placed in Tier 2 and Dundee City in Tier 3.

Following review of the strategy and development of the additional guidance for colleges and universities we have been able to work on the following basis.

Being in Tier 2 or Tier 3 is unlikely to significantly change how the College is currently operating. Travelling for work and / or study is considered to be essential travel and students and staff can continue to travel to College, between local authority areas. Our campuses will remain open (on a restricted and COVID adapted basis as previously) under both of these tiers.

As a College we have inputted to the national guidance on the practical differences between what is described in the high level strategy document as 'Blended Learning' at Tier 2 and 'Restricted Blended Learning' at Tier 3. This should confirm that the 'Restricted Blended Learning' definition reflects the approach that we already have in place and have been operating since the start of session. As a result, no significant changes are needed for Dundee campuses and there may be some opportunity to enhance on campus delivery/services in Angus.

Following some early confusion, it has been confirmed that face coverings are not required within classroom settings whilst in College. This is because (unlike schools) within the college sector we have the mitigation of 2m physical distancing in classrooms and other learning environments. Where 2m physical distancing is not possible for certain practical tasks learners are already required to wear face coverings.

The Scottish Government has highlighted some sector specific changes as part of its strategic framework. This includes different Tier restrictions in activities such as indoor/outdoor sports and close contact services (hair & beauty). Individual curriculum teams are working with these restrictions where required and will adapt curriculum activities in line with the appropriate college and sector specific guidance.

Overall, we remain hopeful that the changes required to fit within the Tier 3 restrictions will be minimal and will not cause any further significant disruption to learning. We are keeping this under review alongside the possible implications of a move to Tier 4 for any part of our region, or the potential for a further national 'lockdown'.

Leadership, Communication and Ways of Working

In the run up to the October break, the decision was taken to prioritise operational workload of managers to support 'finishing up' for the October break. An ongoing process of assessing requests and initiatives on their 'essentialness' remains a key approach of the SLT with staff working hard to ensure our students get the best experience of College that they can.

The Leadership Development Forum planned for the week before the October break was moved to 18th November. With SLT keen to transition managers gently from 'crisis management mode' to a 'new normal', and then future planning in due course, managers will focus on the survey outputs and cultural elements of their work at the upcoming session.

The focus for people management in the short term will be relationships and connections, supporting teams and individuals to keep the sense of community they know and love at D&A. This will be supported by the SLT through role modelling and clear messaging on the importance of team meetings (with a social element), effectively utilising key conversations like Development Reviews, and agreeing organisational communication etiquette.

An ongoing focus will also be personal responsibility over wellbeing, and working collegiately with workstreams and teams to simplify working environments and 'the ask' of people to ensure we can support staff through the coming winter months.

2. National Bargaining

Arrangements in respect of the national support staff Job Evaluation exercise are progressing slowly, with no significant update on progress or outcomes at this time. As the output from the job evaluation project will be back dated to September 2018, initial work is being developed to look at posts created or amended since then that will fall into the scope of job evaluation.

Discussions around salary settlements from 1 September 2020 have been concluded for academic staff, with an offer of 2% on all salary points agreed. This agreement will be implemented in the November 2020 payroll.

Discussions in respect of support staff roles are ongoing, with an employer offer of 2% (with a minimum increase of £400) rejected.

3. Furlough / Job Support Scheme Arrangements

As reported at previous meetings, arrangements were progressed to make use of the Government Job Retention 'furlough' scheme through to the end of October 2020. As a result, 295 staff were furloughed in April / May with this opportunity having a positive impact on the 2019/20 and the 2020/21 budgets.

With the furlough scheme scheduled to end on 31 October 2020, arrangements were progressed to support all staff previously furloughed to return to work in some capacity. With the English lockdown announcement resulting in the extension to furlough, these arrangements have been amended and the College has been able to make use of the scheme to continue to support our financial efficiency and sustainability. This approach will continue whilst the scheme is in operation.

The College is planning to make use of the new Job Support Scheme, although this is focussed more narrowly than the furlough scheme and is less generous for both the employer and staff. These plans remain in place and will be progressed as and when the Job Support scheme is implemented.

4. Workforce Planning / Voluntary Severance

As the current COVID-19 restrictions and adaptions continue, it is clear that there are impacts in terms of the short, medium and longer-term nature of some roles. It is expected that some of these changes (such as increased working from home and the greater utilisation of online platforms and services) will become ongoing changes that will not reverse post-COVID.

Discussions are progressing within the College around the impact that these changes will have on the nature and skillset required for different college roles. Whilst these discussions are at an early stage (and there is much that will change over the coming months) it seems clear that:

- there will be an increasing need for roles and skillsets in on-line learning, teaching, services and technologies

- there will be new ways of leading, managing and working with a more dispersed staff and student body

- there will be reduced demand in some 'face-to-face' on campus services and roles / skillsets related to on-site provision and former ways of working.

Workforce planning discussions are progressing around these key themes and work is beginning to look at the longer term needs in terms of staff roles and CPD.

Key workforce planning steps include:

Short term (session 2020/21)	• Effective utilisation of furlough and job support schemes • Targeted immediate priority staff support and CPD • Workforce planning and awareness raising for longer term
Medium term (calendar year 2021)	• Utilisation of voluntary severance in areas of known decline/impact • Targeted medium and longer term staff support and CPD • Workforce planning and awareness raising for longer term • Clearer long term planning, skills assessment and skills support
Long-term (session 2021/22 onwards)	• Prioritised and scheduled staff support and CPD • Embedded workforce planning • On-going review and development of 'new' ways of working

To support areas of anticipated transition it is proposed that the voluntary severance scheme be opened from early 2021. This will require Board approval and will be brought to the December 2020 meeting of the board for consideration.

Monitoring of all vacancies will continue to take place to support any staff affected by a short, medium or long term decline in demand for services.

Given the areas for growth, short to medium term opportunities to redeploy staff into growth areas will be encouraged where skills and training opportunities allow this to be mutually compatible.

Creative solutions, which see people working productively in roles across College, will be considered, including secondments, part time and work shadowing opportunities.

5. Induction Process

Following our move to a new Staff Portal, the induction process has been revamped for the new platform. Work was undertaken by the People Team in the run up to the new session to provide a 'one stop shop' for induction resources for both new member of staff and the line manager. This has been launched and will shortly be evaluated with new staff members to continually enhance the useful resources available and relevance of material.

6. Development Reviews

Many teams have been undertaking their 2020-21 Development Reviews since the start of session. The People Team are now working with all managers to agree plans for completing these conversations throughout the remainder of the academic session, with support being offered to managers through their meetings with the People Advisor.

7. Mandatory Training

Progress is being made around our new mandatory training supplier and supporting staff in completing this year's required courses. The courses (covering H&S, GDPR, E&D and Safeguarding) are all to be completed this calendar year. The mandatory training will operate on a rolling basis, with different themes in each year, whereby 2 or 3 courses will be completed each year and all training is refreshed on a rolling 3 year basis.

The challenges faced by staff at the current time have been recognised within these arrangements, with many staff feeling under significant pressure to adapt to on-line learning whilst also redeveloping assessment materials and approaches. As such it is anticipated that completion rates may be lower than we would want and arrangements will need to be progressed to support 'mop up' arrangements over the coming months.

8. Teacher Training

This year's teacher training cohorts have got off to a very strong start, despite the move to online delivery. Engagement in the online sessions has been high in comparison to face to face delivery. There are nearly 100 staff members on teacher training programmes this session, split amongst the sector induction course, our internal Teach@D&A programme, TQFE and L&D awards.

9. 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

Authors: 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 12 November 2020

PAPER E

STRATEGIC RISK REGISTER

BOARD OF MANAGEMENT

Human Resource & Development Committee

Thursday 12 November 2020

Strategic Risk Register Update

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 October 2020 Strategic Risk Register is enclosed. It should be noted that no changes have been made to this in respect of the risks allocated to the Human Resource & Development 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 includes the following risk areas fall within the remit of the Learning, Teaching and Quality 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)

Following discussion at the previous meeting the following additional risk with identified mitigations and monitoring has been created and allocated to the Committee.

    3.12   Significant or catastrophic Covid 19 outbreak/infection rate impacts on ability to deliver learning, teaching or other core services.

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.

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

DUNDEE AND ANGUS COLLEGE

STRATEGIC RISK REGISTER

2020 - 2021

As at October 2020

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

Risk Number & Committee	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Lead Responsibility
	POTENTIAL CONTRIBUTING FACTORS				**TREATMENT**				**POST MITIGATION EVALUATION**	
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	• Robust strategic planning • Effective environmental scanning • Strong partnerships • Clear links between strategy and practice • Concerted demands for increased activity levels	4	1	4	• Robust monitoring via ROA • Clear performance metrics • Amendment of strategic direction/ plans • Rolling curriculum review	Prin & Chair
1.2 **Board**	College may be disadvantaged by changes to either UK or Scottish Government policies	4	3	12	• Effective environmental scanning • Negotiation/influence at national level	4	2	8	• Review of changes and amendment of strategic direction/plans • Financial strategy sensitivities	Prin & Chair
1.3 **Board**	College disadvantaged by changes arising from UK leaving European Union	5	4	20	• Negotiation/influence at national level • Review of activities/ projects • Responsiveness to new opportunities	5	3	15	• Review of changes and amendment of strategic direction/plans/ curriculum • Financial strategy ESF sensitivity • Workforce planning • International strategy & planning	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

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

Risk Number & Committee	POTENTIAL CONTRIBUTING FACTORS				TREATMENT				POST MITIGATION EVALUATION		Lead Responsibility
	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring		
1	**Strategic and Structural**										
1.4 Board	Difficulties or over commitment arising within large scale/national College led initiatives or projects impact negatively on: • Ability of the College to meet key regional strategies/objectives • Financial loss or unmanageable financial risk • Reputational loss	4	3	12	• Effective project/activity management in place • Clear governance structures • Project/initiative finances clearly incorporated within College financial strategy and plans • End of project and exit/contingency planning	3	2	6	• Regular project updates at Executive/Board level • Monitoring of project activities, plans and outcomes • Budget reporting and management		Principal, VPC&A

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Risk Number & Committee	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Responsibility
	POTENTIAL CONTRIBUTING FACTORS				**TREATMENT**	**POST MITIGATION EVALUATION**				
2 **Financial**										
2.1 **F&P**	Change in SFC Funding Methodology and Allocation – Reduction in Funding	3	3	9	• Negotiation/influence at national level • Contingency plans for reduced funding	2	3	6	• Advance modelling of new funding methodologies and allocations • Monitoring impact of changes • Amendment of strategic or operational direction/plans • Financial strategy sensitivities	VPCS
2.2 **F&P**	Failure to achieve institutional sustainability	5	4	20	• Protection of funding through dialogue with SFC • Robust annual budget-setting and multi-year financial strategic planning • Effective budgetary control • Where required, swift action to implement savings	4	3	12	• Monthly monitoring of budgets • Regular review of financial strategy and non-core income sensitivity • Detailed monitoring of savings programmes	VPCS
2.3 **F&P**	National outcomes on salaries and conditions of service outstrip ability to pay	4	4	16	• Influence within Employers Association • Management of staffing expenditures	4	3	12	• Expenditure modelling • On-going discussions with staff • Financial strategy sensitivities • Workforce planning	VPP&P, VPCS

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Post Holders									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
2 **Financial (cont)**											
2.4 **A&R**	Financial Fraud	4	3	12	• Strong financial controls: segregation of duties and review of transactions. • Review of impact of any changes in structure or duties • Whistleblowing arrangements	3	2	6	• Continuous review of financial controls • Internal Audit programme		VPCS
2.5 **F&P**	D&A Foundation refuses/withholds funding for key College priorities	5	3	15	• On-going dialogue with Foundation Trustees • Appropriate bid arrangements in place	3	2	6	• Monitor and advise Board of Management		Prin & VPCS
2.6 **F&P**	Demands of capital developments / maintenance impacts on financial sustainability or delivery of learning and/or services	3	2	6	• Multi-year estates strategy and capital planning • Lobbying of SFC on capital and backlog maintenance funding • Planning for D&A Foundation bids	2	2	4	• Monitoring of capital plans and expenditures • Regular review of capital plans/timescales relative to funds		VPCS

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Risk Number & Committee	Risks	POTENTIAL CONTRIBUTING FACTORS			TREATMENT				POST MITIGATION EVALUATION		Lead Responsibility
		Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring		
3	**People and Performance**										
3.1 **LT&Q**	Failure to reach aspirational standards in learning, teaching and service delivery	4	3	12	• Clear quality arrangements and priority actions • Continuous self-evaluation and action planning • Rigorous CPD arrangements in place • Regular classroom observation and learner feedback arrangements	3	2	6	• Comprehensive monitoring of key PIs and student/staff feedback • Regular Stop and Review events • External review and validation findings		VPC&A, VPP&P, DirC&A
3.2 **LT&Q**	Failure to achieve/maintain compliance arrangements, e.g. contracts; awarding bodies; audit.	4	3	12	• Robust strategic planning and monitoring • Effective environmental scanning • Strong partnerships • Clear links between strategy and practice • Concerted demands for increased activity levels	2	2	4	• Effective internal monitoring/review/verification arrangements • External review findings		VPP&P, VPC&A
3.3 **A&R**	Legal actions; serious accident; incident or civil/criminal breach	4	5	20	• Adherence to legislative and good practice requirements • Positive Union relations and staff communication • Effective management development programmes	3	2	6	• Monitoring and reporting in key areas – eg H&S, equalities, employee engagement • Continuous professional development • Internal audit programme • Staff surveys		Prin, VPP&P, VPCS, HoE

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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
3 People and Performance (cont.)													
3.4 **HR&D**	Failure to meet the aspirational standards in respect of the health, safety, wellbeing and development of staff and students	3	4	12	• Clear and proactive approaches to managing and promoting health, safety and wellbeing • Continuous self-evaluation and action planning • Rigorous CPD arrangements in place • Regular staff and learner feedback arrangements	3	2	6	• Regular employee engagement monitoring • Open communication with staff • Comprehensive monitoring of key PIs and student/staff feedback • Regular union/management dialogue			VPP&P, VPCS
3.5 **Board**	Reputational Risk – Loss of reputation with key stakeholders	4	3	12	• Marketing strategy • Reputation plan • Positive marketing approaches	4	2	8	• Stakeholder engagement • Social media monitoring arrangements			VPC&A, DirC&A
3.6 **HRD**	National bargaining outcomes impact adversely on College operations, activity and flexibility	4	4	16	• Influence within Employers Association • Management of bargaining outcomes and implementation	4	3	12	• Positive union relations and staff communication • On-going discussions with staff • Innovation in approaches			VPP&P, VPC&A

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Post Holders						Score	Impact	Likelihood
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Risk Number & Committee	Risks	POTENTIAL CONTRIBUTING FACTORS			TREATMENT				POST MITIGATION EVALUATION		
		Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Lead Responsibility
3 People and Performance (cont.)										
3.7 HRD	Industrial Relations Problems (including industrial action)	4	5	20	• Adherence to legislative and good practice requirements • Positive Union relations and staff communication • Effective management development programmes • Industrial action continuity planning	4	3	12	• Regular union/management dialogue • Regular employee engagement monitoring • Open communication with staff • Industrial action continuity planning	VPP&P
3.8 A&R	Breach of data security / data protection	5	4	20	• Effective management of GDPR compliance • Mandatory staff CPD and awareness raising on data protection (relative to role)	4	2	8	• Active data protection monitoring and auditing • Effective information and data security policies in operation • Regular data security monitoring/testing • GDPR Action Plan • Staff CPD	VPC&A, HoICT
3.9 HRD	Failure to meet Prevent and related obligations	5	3	15	• Prevent training • Staff awareness and contingency planning • Engagement/practice sharing with local agencies	5	1	5	• Business Continuity Plan including scenario testing • Information sharing with local agencies	VPC&A, VPP&P

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Risk Number & Committee	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Lead Responsibility
	POTENTIAL CONTRIBUTING FACTORS				**TREATMENT**		**POST MITIGATION EVALUATION**			
3 **People and Performance (cont.)**										
3.10 **HRD**	College arrangements do not minimise risk associated with Modern Slavery	4	3	12	• Clear and compliant procurement arrangements and procedures • Staff identity checking arrangements and use of PVG.	4	1	4	• Annual procurement monitoring/reporting • Regular employee engagement monitoring • Open communication with staff	VPC&A, VPP&P
3.11 **HRD**	Difficulties with implementation of structural change leading to: • Loss of good, flexible and committed staff • Loss of critical staff during period of transition • ineffective post-restructure arrangements	4	3	15	• Effective planning and scheduling of change • Managed transitions/handovers • Implementation Plan • Contingency Planning • On-going focus on core business requirements	3	2	6	• Regular union/management dialogue • Monitoring of implementation plans • Performance measures/ reporting Open communication with staff	VPP&P VPC&A

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	POTENTIAL CONTRIBUTING FACTORS					TREATMENT				POST MITIGATION EVALUATION			
Risk Number & Committee	Risks	Impact	Likelihood	Score		Mitigation Actions	Impact	Likelihood	Score		Monitoring		Responsibility
4	**Infrastructure**												
4.1 A&R	Disasters – eg Fire, MIS Failure, Failure of Emergency Procedures	5	4	20		• Sound systems of administration • Clear fire and disaster recovery arrangements • Staff CPD	5	1	5		• Business Continuity Plan including scenario testing		Prin & VPCS
4.2 F&P	Failure to achieve ambitions of ICT strategy; strategy and development is ineffective	4	3	12		• Planning, careful phasing of changes to processes and systems • Effective management of ICT arrangements • Clear investment plan	4	2	8		• Regular review/reporting on milestones, systems effectiveness etc • Regular CPD		VPC&A, HoICT
4.3 A&R	Breach of ICT/Cyber security	4	3	12		• Effective management of ICT arrangements • Active ICT/data security monitoring and cyber security policy	4	2	8		• Staff CPD on cyber security issues • Regular security monitoring/testing • Cyber resilience plan		VPC&A, HoICT
4.4 A&R	ICT infrastructure fails to support effective data security / data protection	5	3	15		• Effective infrastructure and systems design and implementation • Effective management of ICT arrangements and GDPR compliance	4	2	8		• Active data protection monitoring and auditing • Effective information and data security policies in operation • Regular data security monitoring/testing		VPC&A, HoICT

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STRATEGIC RISK REGISTER
COVID 19 SPECIFIC MITIGATIONS

2020 - 2021
As at October 2020

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

Risk Number & Committee	POTENTIAL CONTRIBUTING FACTORS				TREATMENT				POST MITIGATION EVALUATION		
	Risks	Impact	Likelihood	Score	Additional COVID 19 Mitigation Actions	Impact	Likelihood	Score	Additional COVID 19 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	• Regular strategic analysis and assessment of need for change • Strong engagement with government and key partners – influencing national priorities • Clear prioritisation of activities • Focus on core business	4	3	12	• Regular monitoring of recruitment, retention, ROA Outcomes and key strategic needs by SLT and reporting to Chairs • Amendment of strategic direction/ plans • Rolling curriculum, activity and priority review and implementation of new approaches/services where needed • Engagement with government and other partners	Prin & Chair
1.4 **Board**	Difficulties or over commitment arising within large scale/national College led initiatives or projects impact negatively on: • Ability of the College to meet key regional strategies/objectives • Financial loss or unmanageable financial risk • Reputational loss	4	3	12	• Clear prioritisation of activities • Effective project/activity management in place • Strong engagement with partners/funders • Clear governance structures • Project/initiative finances clearly understood and reviewed regularly • Project cessation, pausing or contingency planning in place	4	2	8	• Regular project updates at Executive/Board level • Monitoring of project activities, plans and outcomes • Budget reporting and management	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
2 Financial													
2.2 F&P		Failure to achieve institutional sustainability	5	4	20	• Protection of funding through dialogue with government, SFC and other funders • Robust and effective budgetary control • Where required, swift action to implement savings • Increased focus on cash position	4	3	12	• Monthly monitoring of budgets • Engagement with government and other partners • Detailed monitoring of income optimisation and savings programmes			VPCS
2.4 A&R		Financial Fraud	4	3	12	• Revised financial controls: segregation of duties and review of transactions. • Review of impact of changes in ways of working, authorisation arrangements • Whistleblowing arrangements	3	2	6	• Continuous review of financial controls and revised arrangements			VPCS

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	VPCA	Vice Principal Curriculum & Attainment				5	Critical	Very Likely

Risk Number & Committee	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Lead Responsibility
	POTENTIAL CONTRIBUTING FACTORS				**TREATMENT**	**POST MITIGATION EVALUATION**				
3 **People and Performance**										
3.1 **LT&Q**	Failure to reach aspirational standards in learning, teaching and service delivery	4	3	12	• Clear input and engagement with revised quality arrangements and priority actions • Rigorous CPD arrangements in place to support new ways of working • Regular learner feedback and engagement arrangements	3	3	9	• Comprehensive monitoring of engagement of learners in learning (where possible) • Engagement with revised quality arrangements • Outcome monitoring	VPC&A, VPP&P, DirC&A
3.2 **LT&Q**	Failure to achieve/maintain compliance arrangements, e.g. contracts; awarding bodies; audit.	4	3	12	• Engagement and communication strategy with compliance bodies • Clear input and engagement with revised quality arrangements and priority actions • Prioritisation of activities/outcomes	3	2	6	• Effective internal monitoring/review/verification arrangements • Engagement with revised quality arrangements • Outcome monitoring/recording	VPP&P, VPC&A

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Risk Number & Committee	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Lead Responsibility
		POTENTIAL CONTRIBUTING FACTORS			**TREATMENT**				**POST MITIGATION EVALUATION**	
3	**People and Performance (cont.)**									
3.4 **HR&D**	Failure to meet the aspirational standards in respect of the health, safety, wellbeing and development of staff and students	3	4	12	• Clear and proactive approaches to supporting and promoting health, safety and wellbeing when WFH and/or on-site • Project 2020 developments and mitigations • Outbreak management plan • Enhanced awareness of challenges/support needs • Extensive CPD arrangements in place – Home Working Hub • Regular staff and learner feedback arrangements	3	3	9	• Regular employee engagement monitoring • Maintaining and reporting on physical distancing measures • Open communication with staff • Monitoring of formal and informal feedback – student and staff feedback • Regular union/management dialogue	VPP&P, VPCS
3.5 **Board**	Reputational Risk – Loss of reputation with key stakeholders	4	3	12	• Marketing strategy • Reputation plan • Positive marketing approaches • Outbreak management communications plan	4	3	12	• Positive marketing plan • Regular stakeholder engagement • Social media engagement and monitoring arrangements	Prin DirC&A

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Risk Number & Committee	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Lead Responsibility
		POTENTIAL CONTRIBUTING FACTORS			**TREATMENT**	**POST MITIGATION EVALUATION**				
3	**People and Performance (cont.)**									
3.7 **HRD**	Industrial Relations Problems (including industrial action)	4	5	20	• Adherence to legislative and good practice requirements • Positive Union relations and staff communication • Effective management engagement and support	4	2	8	• Regular union/management dialogue • Open communication with staff • Effective management engagement and support	VPP&P
3.8 **A&R**	Breach of data security / data protection	5	4	20	• Effective management of GDPR compliance • Additional awareness raising of WFH risks • Mandatory staff CPD and awareness raising on data protection (relative to role)	4	2	8	• Active data protection awareness raising • Effective information and data security policies in operation • Regular data security monitoring/testing • Staff CPD	VPC&A, HoICT
3.12 **HRD**	Significant or catastrophic Covid 19 outbreak/infection rate impacts on ability to deliver learning, teaching or other core services	4	3	15	• Clear scenario and contingency planning • COVID 19 H&S mitigations in place, monitored and adapted where required • All appropriate government guidance followed	4	2	8	• Monitoring of COVID 19 cases and absences • Outbreak management arrangements • Amendment to support prioritised services	Prin 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
4 Infrastructure										
4.3 **A&R**	Breach of ICT/Cyber security	4	3	12	• Effective management of ICT arrangements • Active ICT/data security monitoring and cyber security policy • Additional awareness raising of WFH risks and COVID related 'scams'	4	2	8	• Staff awareness raising/CPD on cyber security issues • Regular security monitoring/testing • Cyber resilience plan	VPC&A, HoICT
4.6 **LT&Q**	ICT/Cyber failure significantly disrupt learning, teaching or other core services	4	3	12	• 'Cloud first' strategy implementation for major services/systems • Clear and robust management of ICT systems	3	1	3	• Systems monitoring • On-going cyber resilience and systems development	HoICT

Human Resources and Development Committee

Thursday 12 November 2020

PAPER F

HR METRICS

BOARD OF MANAGEMENT

Human Resources and Development Committee
Thursday 12 November 2020

HR Metrics

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

2019/20 Headcount	% Split	2018/19	2019/20 FTE		% Split	2018/19
Teaching	418	46.7%	421	Teaching	298.3	46.6%	281.7
Other	478	53.3%	454	Other	341.8	53.4%	315.5
Total	896		875	Total	640.1		597.2

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 2019/20						
	2019/20	2018/19		**2019/20**	2018/19
Total Credits: Staff FTE	**169:1**	183:1	Total Credits: Teaching Staff FTE:	**363:1**	388:1

Female & Male Headcount		% Split	2018/19	Temporary & Permanent FTE		% Split	2018/19
Female	566	63.2%	64.8%	Temporary	86.6	13.5%	15.0%
Male	330	36.8%	35.2%	Permanent	553.5	86.5%	85.0%
Other							
Total	896			Total	640.1		

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

These figures have been updated to exclude 'prefer not to say' and to reflect updates from recent employee self service updating

Staff Absence Data

	Staff Absence Rolling Year to 31/10/20	Staff Absence Rolling Year to 31/07/20
Average working days lost per headcount	**2.18**	2.48
Working time lost	**5.67**	6.45
Comparison with sector/national rates UK All Sector rate (CIPD 2016) UK Public Sector rate (Unison 2016)	3.3% 3.4%	

Absence Analysis (Incidents)	**Rolling Year to 31/10/20**	**Rolling Year to 31/07/20**
Long Term Absences (4 weeks or more)	**118**	138
Short Term Absences	**484**	579
Stress Related Absences – Work related	**17**	20
Stress Related Absences – Non-work related	**56**	52

Other HR Metrics

	2020/21	**2019/20 Full Year**
Staff Turnover Rate (non-forced)	**1.68%**	6.19%
Employee Hearings		
Discipline	**0**	2
Grievance	**1**	4
Tribunal Actions	**0**	0
Recruitment Exercises	**25**	105
Current Vacancies	**5**	

OD Metrics	**2020/21 to Date**	**2019/20 Full Year**
Engagement with Leading Learning Academy (per team)	**100%**	100%
Number of internal CPD events delivered and external events supported	**101**	422
Number of attendances at internal and external CPD events per employee headcount	**643**	2349 2.34
Organisational Development budget per employee headcount	**-**	£110
Engagement survey ratings (Pulse surveys)	**Engagement 82% October 2020**	Engagement: 83% May 2020
Employees participating in College-wide strategy and working groups % of employee headcount	**-**	14%

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 2020/21	New Starts	Not Started	In progress: On Track	In progress: Behind	Completed	Total
Academic	6	0	0	0	6	6
Support	10	0	0	0	10	10

Mandatory Training Completion Rates

Activity	2020/21 Completion Rate to date
Development Reviews	9%
Mandatory Training	
Safeguarding	23%
Health & Safety	25%
Fire Safety	27%
GDPR	25%
Equalities	27%
Display Screen Equipment	23%

The above figures represent completion rates since the introduction of the new mandatory on-line training matrices in August 2020. Safeguarding is a new addition to the mandatory list and was previously undertaken on an in-team basis. The other mandatory training elements had 100% completion over the previous 3-year cycle.

Development Review completion for 2019/20 was c50%

3. 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: Farema Naga, HR Advisor/Colin Lynagh, Business Intelligence Officer
Executive Sponsor: Steve Taylor, Vice Principal People and Performance

Human Resources and Development Committee

Thursday 12 November 2020

PAPER G

Meeting Minutes / Updates

JCF – 6 October 2020

Health, Safety and Wellbeing Committee – 26 October 2020

JOINT CONSULTATION FORUM

Friday 2nd October 2020 at 1.30pm

PRESENT:
Simon Hewitt	Nick Steff
Steve Taylor	Abi Mawhirt
Jaki Carnegie	David Travis
Alan O'Neill	Jennifer Dick
George McAteer	Yvonne Cargill
Dougie Deans	Gregor McGillivray

1.   Apologies   **Action**

Apologies were received from Karen Buchan and Alex Williamson.

2.   Minute of Previous Meeting

Use of Teams and software like Rise to be picked up under the Leadership,
Comms and Ways of Working workstream in review of digital ways of   AM
working.

3.   Matters Arising / Actions

No further matters arising were raised.

4.   COVID-19 Update

4.1 Workstream Feedback / Priorities

The extensive range of work undertaken to adapt the campus and develop /
publicise the range of COVID 19 mitigations and revised ways of working
were noted. Jaki noted that the work of the Estates & Infrastructure
workstream has been very visible via the Daily Check Ins.

Steve highlighted that the COVID-19 Business Continuity team were now
looking at scenario planning and the possible need to expand
arrangements in the event of larger scale outbreaks, particularly for
students that may be in self-isolation without family or other support.

Simon noted contingency planning discussions in respect of the curriculum
and confirmed that ongoing discussions with SQA were being held in terms
of assessment arrangements and approaches.

Nick noted that student support workers could helpfully be kept informed of
any support offered via the College; Steve confirmed this was in place and
had been enacted to support the recent Parker residence self-isolating
student group.

Yvonne commended the positive work undertaken around student support and queried whether there would be similar support for staff, particularly if there were larger numbers of staff affected. Steve confirmed that support for staff self-isolating could be implemented via the People Team as needed and Simon noted that scenario-planning discussions had been taking place at SALT (Senior Academic Leadership Team).

Alan noted that information available on travelling during the October break did not draw a distinction between support and academic staff. Abi confirmed that this was accurate and noted that the College did not want to say people could not travel abroad in October (given the wide range of reasons people may need or want to travel). The key element was the discussion between staff members intending to travel and their line manager to discuss and agree suitable arrangements where quarantine was needed.

David noted that there were concerns in academic teams regarding covering any significant increase in staff absences. Yvonne noted that the approach of joining online groups together might cause difficulties for staff members. Simon noted that the expectation would be that teams come together and discuss and agree the appropriate approach to cover.

Steve highlighted that there may be some cases where we need to consider what it was possible to deliver, rather than would like to deliver, if there were larger scale outbreaks and absences. Jaki noted that this is why we are continually reinforcing the 'FACTS' message as compliance was the key step in ensuring that larger scale outbreaks did not occur.

David stated that there were significant demands in preparing and delivering remote learning and that adding cover requirements to this could be unsustainable. Simon restated that the scenario planning was taking place, although it was recognised that there were no easy answers in what was still an unprecedented pandemic situation.

Yvonne stated that whilst the College was as compliant as possible, it was concerning for staff to see school pupils congregating when they get off buses etc. Jaki agreed that the current situation presented challenges and anxiety, noting that personal responsibility to follow guidance is key. Steve noted that it was important that all staff follow the guidance in place as this would provide protection for them, even if others were not following the requirements.

Nick noted that workload had also increased for support staff and the pressures therefore exist across the board. Simon noted that the Peachy Mondays pulse survey would seek to gather information on concerns and support needs.

David queried whether those in higher risk categories would feature in scenario planning in terms of moving to future remote working. Simon and Steve noted that the discussions taking place would cover this, with arrangements determined relative to any further changes in Scottish Government individual risk assessment or shielding guidance that may arise.

Nick raised a query around social and lunch time access to classrooms for students and the associated cleaning. Jaki confirmed that this was being looked into currently.

4.1 Health & Safety Audit (COVID-19)
Jaki noted the positive internal audit report on COVID 19 Health and Safety arrangements and stated that the auditors had joined the Project 2020 and COVID-19 Teams sites and gathered relevant information through this engagement. The report was highly positive and detailed, covering a range of good practice.

4.3 Furlough / Job Support Scheme
Steve advised that a small number of staff remained on furlough, with this likely until the end of the scheme (end of Oct). Further information was due on the application of the Job Support Scheme, which will be reviewed when available. Steve noted that it was planned to utilise this scheme as needed, but that the College would aim to continue to support payment of full normal salary.

4.4 Working from Home
Nick raised that, with working from home ongoing, there could be issues with personal and social isolation and wellbeing. Nick queried whether managers were checking in with staff, and noted that additional expenses could be incurred by those working from home.

Abi noted that next week's survey would pick up a range of this feedback and noted that previously, the requests were relatively straightforward, and a wide range of support could be given immediately.

Concerns were raised around compliance in respect of individual risk assessments and subsequent conversations. Jaki confirmed that the process for the second round of individual risk assessments was for individuals to highlight any significant change from the initial assessment (given the updated scoring) to their line manager. It was noted that any specific concerns in respect of individual staff could be passed onto the People Team.

5. Group Feedback / Progress

5.1 Off Site Working
This had been superseded and would be taken forward under new ways of working.

5.2 Organisational Change
Steve recently met with Jennifer and Nick to finalise wording of guidance.

5.3 Communication – Service Design
In discussion, it was agreed to reconvene the core group to review progress and outcomes.   JC

5.4 Transfer to Permanency
Steve noted that the group had not met for a three weeks (at union request)   ST/DT/GMcA
but that it was hoped that meetings would reconvene after the October break.

5.5 Group Tutor Support
Alan confirmed that work was progressing and a soft launch of resources completed - which had received good feedback. There were around 70 GTs   SH/AO
in the new Team and plans to encourage more to join. The two key issues being looked at now were the Group Tutor remit and HN GT hour.

5.6 Teaching Weeks
Simon will reconvene group.

5.7 Post-restructure Actions
Meetings of the group took place towards the end of 2019-20 and were to be scheduled again after teaching had recommended in 2020/21. Steve will arrange further meetings.   YC/DT/NS

5.8 Recruitment & Selection Review
Jaki has drafted the final report and is awaiting final feedback.   JC

6.   Union Items

6.1 Fractional Contracts and Contact Time
David and Yvonne met with Julie and Kevin regarding the rounding up of contact time. Yvonne noted concerns regarding the rounding up of teaching hours. This was discussed, and Steve noted that this was in line with the agreed timetabling policy. It was agreed that this be referred back to the Timetabling Group for further discussion.   SH

6.2 Academic Pay Award Ballot
David noted that the academic pay award ballot confirmed a vote to accept a 2% increase.

7.   Finance Update (2020 Budget)

Jaki highlighted that a balanced budget had been approved by the Board at its September meeting. This was a welcome position, given initial concerns around major income streams and it was noted that the Job Retention Scheme had been a significant financial support, alongside the decision by SDS to support Foundation Apprenticeships.

Jaki stated that there were also a range of government initiatives being developed that would support students and the economic recovery in the Tayside region that the College would aim to benefit from.

Jaki stated that spend on ICT had been brought forward into 2019/20 to support the laptop roll out, and that Estates savings had also supported the stronger position. Jaki noted that we have a good year-end cash position, but that it had to be recognised that this included the benefit of the 'mortgage holiday' on the Gardyne loan and that c.£1.6 million of the cash held were restricted, rather than College, funds.

Gregor raised the situation with the Kingsway development and the impact on the Hair, Beauty and Complementary Therapies team. Jaki confirmed that this had been discussed and that there was little value in making significant investments in the current hair and beauty facilities, but that some remedial works would be needed to help support short-term arrangements. Discussion on the demolition and rebuilding of the old library site had been held with the Scottish Funding Council, with some promising signs. Jaki noted that plans were being brought forward to support the development of the new Kingsway library space on level 1.

David queried whether previous concerns around the College's fiscal position were now alleviated, with Jaki stated that the position was much better than reported prior to the summer, but that this was still worse than would be expected in a 'normal' year. Jaki also noted that there were a number of risks around some elements of income and activity and that it was important the College continue to meet targets for this year to ensure the best position possible.

Steve highlighted the importance of promoting and supporting job security, noting the need to plan well in advance in reviewing both expected levels of activity and delivering effectively and efficiently.

8.   **National Bargaining**

Steve noted that we were now awaiting the formal ratification of the academic pay award by both sides. Once this had been completed a joint circular would be produced confirming the new national salary scales. Alan queried when the academic increase would be paid to staff, with Steve confirming that notification had to be made and then it would be done as soon as possible.

Steve noted that his understanding was that a similar pay offer had been made to the support unions, but had been rejected. Discussions on this would continue.

Abi advised that national job evaluation first scoring was taking place as queries have been received on the D&A questionnaires. Timescales for completion of this work were not known.

9.   **Policy Review Group**

Abi noted that George had supported the group with mainly technical updates to a range of ICT policies. These had been updated following audit recommendations in the light of the cyber-attack. The policies are now published.

10.   **AOCB**

The updated Fraud, Bribery and Corruption policy went to the Audit and Finance Committee who requested that staff training on this be rolled out.   JC
The group agreed to participate in a pilot of the training.

Jaki highlighted that the national Kickstart scheme had been launched to support young people into meaningful employment. D&A would be engaging in this as an employer to offer placements. Working in partnership with the Dundee and Angus Chamber of Commerce and Murton Trust. Jaki stated that the College hoped to be able to offer a range of placements for young people. Nick noted that the pressures of supporting a placement should be considered as part of the process, which all agreed with.

11.   **Date of Next Meeting –** ~~23rd October 2020 at 1.30pm~~ Friday 6 November 2020 at 1.30pm

Health, Safety & Wellbeing Committee Meeting

Note of Last Meeting
Monday 26 October 2020

Minute of the Health, Safety and Wellbeing Committee meeting held on Monday 26 October 2020 via Microsoft Teams.

PRESENT:	J Carnegie (Chair)	G McAteer
	J Beresford	A Williamson
	B Grace	S Rennie
	A Cathro	K Robinson
	S Thom	C Strachan
	C Parker	C Ditchburn
	J Cooper	J Dick
	M Swan	G McGillivray
	C Hewitt	J Grant
	P Duke	
APOLOGIES:	K Murphy	S McGregor
	W Duke	

1. WELCOME AND HOUSEKEEPING

J Carnegie informed the group that this meeting was requested by the Union Health & Safety Representatives and the agenda is formed by questions submitted by them.

2. NOTE OF LAST MEETING

Notes of last meeting were agreed as an accurate reflection.

3. MATTERS ARISING

N/A

4. Risk Assessment – Close Working with Students, consistency of approach

G McAteer raised the concern that students were not physically distancing within a number of learning environments and there was a lack of disciplinary measures for non-compliance. J Carnegie encouraged that if non compliance was observed to report this through healthandsafety@dundeeandangus.ac.uk **Action** All.
G McAteer highlighted that there was not a consistent approach to physical distancing with departments risk assessments. J Carnegie explained that the rules are complex and that department teams were involved in the creation of their own risk assessments.
M Swan informed the committee that enforcing physical distancing with students and school link groups was a challenge especially within corridors and that some staff had been subject to verbal abuse.

B Grace highlighted that this type of student behaviour was not new and his staff are often subjected to abuse on a daily bases.

Actions

- Specific examples should be highlighted to the Group Tutor or through healthandsafety@dundeeandangus.ac.uk
- J Carnegie to highlight concerns with S Taylor (Student Behaviour Policy Project)

5. **Mental Health/Wellbeing of Staff & Home Working**

G McAteer raised the issue that workload has increased exponentially in Academic terms and this is not sustainable in the long term. There are also additional stresses staff are experiencing trying to support Students across all departments.

J Carnegie highlighted that all organisations were working under increased pressure during this time and that everyone was being affected in both their working and personal lives living through the pandemic. It was acknowledged that no matter where you work it is an uncomfortable environment to be currently working in. J Carnegie everyone to manage ourselves and expectations as best we can.

J Carnegie highlighted the wellbeing page as a useful resource for staff.

G McAteer mentioned that staff were having to work longer hours to accommodate the changes in curriculum delivery and learn new systems resulting in increased stress levels to many lecturers.

Action J Carnegie understood the concerns and would raise this issue with the Executive.

J Carnegie made reference to the various training opportunities that were and are available to staff and to the positive responses to the recent pulse survey.

S Thom informed the group of the difficulty in supporting students when the learning is delivered online and that a balanced approach of partial on-campus and remote learning could be a consideration for teams to explore.

Chris Ditchburn raised the matter of the increased reliance on ICT and the various issues and difficulties experienced by staff and students when in College and when working from home. He suggested that an increase in ICT support staff would help alleviate some of these issues. J Carnegie informed the group that A Ross has asked for placements under the government kickstart scheme to support the ICT Help Points.

J Cooper suggested the possibility of utilising staff that maybe weren't so busy within their departments, J Carnegie informed the group that workforce planning and retraining opportunities was being considered.

J Carnegie suggested a subgroup be formed to discuss ICT issues.

Action J Carnegie to arrange a meeting with C Ditchburn, S Thom, G McAteer, G McGillivray

J Cooper advised the committee that unfortunately there had been little engagement from staff with initiatives to keep then socially connected but will continue to offer these opportunities and would welcome suggestions to increase engagement that was within current restrictions. Involvement with Social @ D & A and Learning Engagement was suggested.

Action J Cooper to discuss any concerns with new initiatives with A Cathro.

J Carnegie informed the group of the forthcoming Scottish Government 5 tier system and potential impact to the various campuses.

K Buchan discussed the importance of looking after your own wellbeing and that of your colleagues.

6. **Safety/ workplace inspections**

J Carnegie made reference to last year's departmental workplace inspections and that not all had been completed within the timescale.

J Beresford advised the group of the plan to issue the safety checks early November with returns required for mid-December. This would allow for a report to be collated for our next committee meeting. She also envisaged that managers could delegate the process to others within their department.
Action A Cathro/J Berespord to issue request to teams to undertake safety checks

G McAteer informed the group that the union reps had been invited to accompany the Health & Safety Team on a walk round of each of the campuses to assess the compliance with COVID -19 mitigations.

7. **Fire/ first aid arrangements** – (are they sufficient with people working from home?)

G McAteer asked about the arrangements for fire and first aid and queried if they are sufficient due to the number of staff currently working from home.

First Aid
A Cathro informed the committee that although a number of first aiders were working from home, he was satisfied that there were a sufficient number on each campus. The method of contacting a first aider has not changed and information on this is on the portal. Designated first aiders are within the higher risk departments and a rota to cover the first aid phone has been issued for this calendar year.
A Cathro also mentioned that he had been working with J Cooper and G Thain during the summer, in organising training and creating a First Aiders TEAMs site.

Fire Arrangements
A Cathro advised the committee that a review of the fire risk assessments were almost completed. A review of the evacuation checklist was undertaken and cleaners have now been added as wardens following discussions with the caretaking team leaders and cleaning supervisor at Arbroath campus. He also advised the group that, following discussions with the Fire Safety Enforcement Officer, fire drills should still take place during the pandemic. Due to the potential reduction of fire wardens to check areas, A Cathro emphasised the importance of all staff in making sure their classroom or workroom had been vacated. A message to communicate this requirement will be relayed to staff.

Action A Cathro to communicate with staff the arrangements/process for fire evacuations

8. **Cleaning**

J McAteer enquired if it was possible to have a notice on each room detailing when it was

last cleaned.

J Carnegie suggested that this could be confusing for staff, for example, the notice could inform that the room had last been cleaned a number of days ago which would raise a concern when in fact the room hadn't been used since the time of cleaning.

It was proposed that cleaning schedules will be posted onto the staff portal for any member of staff to view.

Action B Grace to arrange for cleanings schedules to be posted weekly to the staff portal.

J Beresford raised the issue that there have been instances of lecturers moving rooms from the one they were timetabled for. J Carnegie asked for these incidents to be emailed to healthandsafety@dundeeandangus.ac.uk

M Swan asked what the arrangements were for the practical classrooms. B Grace advised that the cleaning of the rooms were the role of the workshop attendants and the departments had their own fogging machines.

Action B Grace to confirm that the workshop attendants are clear on their responsibilities for the cleaning of the practical classrooms.

9. **Contacting staff out of work hours**

M Swan raised the issue that some staff were unhappy at being emailed work related matters at the weekend by their manager and/or students were contacting the staff through TEAMs and the staff felt obliged to answer.

J Carnegie acknowledged that this was happening for the COVID -19 reporting and mentioned that during this time the Senior Leadership Team expect managers to be more available out of hours, however, she will relay these concerns to the Senior Leadership Team.

Action J Carnegie to raise with Senior Leadership Team

M Swan also raised the issue of classes being cancelled at short notice and that staff, by the time they had received the email had already travelled to the campus.

Action M Swan to provide J Carnegie with the details

10. **AOCB**

M Swan expressed a concern that vending machines were not being cleaned even though the cleaning material was in the vicinity, J Dick mentioned that her staff were cleaning the vending machines twice a day but staff and students have a responsibility to use the cleaning products provided.

Action B Grace to confirm the vending cleaning arrangements with M Robinson.

11. **DATE OF NEXT MEETING**

18 January 2021, unless there is a particular requirement for an earlier meeting.