

BOARD OF MANAGEMENT

Human Resources and Development Committee



Thursday 5 May 2022 at 5.00pm
Microsoft Teams

AGENDA

1. WELCOME
2. APOLOGIES
3. DECLARATIONS OF CONNECTION & INTEREST Paper A for information ST
4. MINUTE OF THE PREVIOUS MEETING – 17 February 2022 Paper B for approval
5. MATTERS ARISING Paper C for noting
6. OPPORTUNITIES AND CHALLENGES PAPER Paper D for discussion ST/SH/JC
7. VP PEOPLE AND PERFORMANCE REPORT Paper E for information ST
8. NATIONAL BARGAINING UPDATE Verbal update ST
9. STRATEGIC RISK REGISTER Paper F for approval ST
10. HR METRICS Paper G for information ST
11. COVID 19 UPDATE ON HEALTH & SAFETY, LEADERSHIP, WAYS OF WORKING & COMMUNICATION Verbal update BG/AM
12. DATE OF NEXT MEETING – TBC



Human Resources and Development Committee

Thursday 5 May 2022

PAPER A

Declarations of Connection and Interest

Human Resources and Development Committee

Interests and Connections Guidance



Paper for information

1. Introduction

This paper summarises recent changes made within the model code of conduct for board members on public boards in Scotland in terms of the declaration of a 'connection' as an addition and clarification to the longstanding need to declare any interests.

This new designation was introduced within the most recent model code developed by the Standard Commission for Scotland and adopted by the D&A Board at its March 2022 meeting. As a result, these requirements apply to all current and future board members.

2 Understanding and Declaring Connections

The Standards Commission for Scotland has provided [the following guidance](#) in terms of what may constitute a connection. This is noted as follows:

Paragraph 5.1

133 In your work as a member, you will have connections with a great number of people and organisations. In the same way, your financial affairs, employment and property holdings - or those of individuals close to you or bodies you are involved with - will sometimes mean that you have a connection to a matter that your public body is considering, in some way.

134 Such connections will not always amount to an interest that you are required to declare. However, you should always consider whether this is a possibility, in the context of your role as a member and in respect of any specific matter you are being asked to consider. You should always err on the side of caution, and if you are in any doubt you should consult your public body's Standards Officer.

Paragraph 5.2

135 The Code cannot provide for every type of relationship that could result in a connection, as this will depend on the facts and circumstances; for example, how close you are to the individual in question and how often you see them. It should be noted, however, that certain relationships such as spouse, partner, cohabitee, close friend, parent or child are likely to result in a connection.

136 It is impossible to list every type of connection you could possibly have with a matter involving or to be considered by your public body. However, some common examples would include:

- your public body considering some form of financial assistance or decision that could have a direct effect on an organisation you, your partner, or someone close to you works for;
- your membership of another body or organisation that is seeking to agree a contract with your public body;
- some form of personal connection with a person making an application, or a complaint, to public body.

137 The Code does not restrict the ability of a public body to benefit from the knowledge and experience of its members. Having knowledge or experience of a matter that is to be considered by your public body is not necessarily a connection. For example, if your public body is considering tenders received for the provision of a new IT system, your knowledge and experience as an IT specialist would not be considered a connection.

In essence, a connection is outlined as the stage before a formal interest would need to be declared, but is something that other board members, or the public in general, may feel is important to have highlighted and recorded in advance of a discussion taking place or decisions being made.

As noted above, a connection may arise due to a close relationship or friendship with an individual, not just because of a financial or organisational link.

It is important to set the declaration of interests or connections within the context of what is being discussed, and what decisions are being made by board members. Given the high level and strategic role played by board members, it is anticipated that the need to declare connections is likely to be relatively minimal.

Recent examples of what may be considered a connection or interest include:

- A board members role as Chair of Gardyne Theatre Limited.

This would become an interest if there was a specific item or element of board discussion and decision making that had a substantive impact on the organisation or operation of GTL

- A board members employment with Angus Council where approval was being sought for a lease agreement between the College and the Council.

This would become an interest if the board member had direct involvement in the lease arrangements, pricing or negotiation as part of their Council role.

- A board member who has a partner/spouse that works for the College.

This would become an interest if there was a specific item or element of board discussion and decision making that had a substantive impact on the partner/spouse's work or employment

- It is also noted that a connection will not exist in a situation where a board member has been nominated or appointed into a role by the board of management (for example as the board trustee on the D&A Foundation).

Based on a review of declarations of interest made over recent years, it is noted that most (if not all) of these would fall into the connections, rather than interest, category. This is summarised in the guidance as follows.

146 The **objective test** outlined in paragraph 5.5 of the Code assumes that a member of the public has knowledge of the relevant facts. The question you need to consider is whether a member of the public, with this knowledge, would reasonably regard the connection as so significant that it would be likely to prejudice your discussion or decision-making in your role as a member. If the answer is yes, the connection is an interest which you should declare.

The agenda for each meeting has been updated to incorporate the need to declare both interests and connections at the start of each meeting and board members should declare either for recording under this item.

3 Declarations of Interest

Alongside the creation of the connections category for declarations, the Standards Commission has also strengthened guidance in respect of declarations of interest.

As a result, it is expected that any board member that has an interest in a matter being discussed or decided upon would fully leave the meeting for this item. This is summarised as noted below and is a departure from past board practice where the member would remain in attendance but not take part in the discussion/decision making.

153 If you decide that you should declare an interest, you should do so at the earliest opportunity. If you only realise a declaration is necessary when the discussion in respect of a matter is underway, you may wish to consider whether you should provide a brief explanation as to why you had not realised you had an interest at the outset of the meeting.

154 Thereafter, when the item is being considered, you should leave the room. It is not sufficient for you to retire to the back of the room or the public gallery. If the meeting is being held online, you should retire to a separate breakout room or leave and re-join after the discussion on the matter has concluded. It is not sufficient for you to turn off your camera and / or microphone for the duration of the matter.

155 You should not give anyone reason to doubt that you are no longer in any position to influence the outcome of deliberations on the relevant item either directly or indirectly. This means that you should refrain from contacting your member colleagues remotely (for example by email or text) while they are considering the item.

As noted above, it is anticipated that the need to declare an interest is likely to be limited.

4 Information/Guidance

If any member of the board is unsure of the need to declare a connection or an interest, information and guidance on the appropriate approach can be sought from the Secretary to the Board.

As a new provision, examples of what does or doesn't constitute a connection are not readily available, but the Standards Commission will update guidance as issues are considered and decisions made.

5 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 the following risk within the Strategic Risk Register.

- 3.2 Failure to achieve/maintain compliance arrangements, e.g., contracts; awarding bodies; audit.

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



Human Resources and Development Committee

Thursday 5 May 2022

PAPER B

**Minute of the Previous Meeting – Thursday 17
February 2022**

BOARD OF MANAGEMENT

Human Resources and Development



Committee Thursday 17 February 2022

Draft confirmed by Chair

Minute of the Human Resources and Development Committee meeting held on Thursday 17 February 2022 at 5.00pm via Teams.

PRESENT:	D Mackenzie S Hewitt S Stirling	D Fordyce K Keay B Carmichael
IN ATTENDANCE:	S Taylor (Vice Principal) J Carnegie (Vice Principal) K Buchan (HR Manager)	A Mawhirt (Head of People & OD) J Grace (Vice Principal) T D'All (PA to Principal & BOM Chair)

AGENDA

1. WELCOME

D Mackenzie welcomed members to the meeting.

2. APOLOGIES

Apologies were noted from D Fordyce and B Grace.

3. DECLARATIONS OF INTEREST

There were no declarations of interest.

4. MINUTE OF THE PREVIOUS MEETING – 11 November 2021

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

5. MATTERS ARISING

There were no matters arising.

6. 2022 – 2024 WORKFORCE PLAN

A Mawhirt set out the update on the Workforce Plan noting changes in the College Sector National Bargaining and teacher training (benchmark qualification).

A Mawhirt highlighted the main areas and themes: staff profile, digital, wellbeing, noting difficulty in getting staff out to industry.

A Mawhirt also noted Strategic Projects and other influencers including STEM, Esports, MSIP, and the Climate Emergency.

A Mawhirt intimated that staff turnover is still relatively low and the Staff mix between academic and support remained similar to previous at 50 / 50.

K Buchan summarised support provided in respect of mental health and wellbeing and noted that the People Team were focused on conversations with Heads of Department around their mental health and that of their teams. A cross college working group working with staff and students was looking at resources to improve people's wellbeing. Wellbeing Champions form part of the Wellbeing Strategy, with trusted colleagues and a variety of support on offer.

S Taylor noted the previous discussions at the Committee and stated that the updated plan was a distillation of the key things going on in the College / region and the staff changes, and development needed to support these changes.

The integration between the range of College strategies was noted, and S Taylor highlighted that discussions were planned with the Finance & Property Committee on the Finance Strategy, and work would shortly commence to update the Learner Experience Strategy, all of which would align with the workforce plan.

K Keay congratulated the Team on the plan and asked how progress on this would be identified/confirmed.

A Mawhirt noted that many of the metrics were already highlighted in the HR Metrics report.

On the Leadership Development, A Mawhirt confirmed that since the academic restructure the group was progressing well in their new roll. Focusing on the community element; cross-college pollination of ideas and support for one another. Staff have indicated this is how they would like to spend their time.

A Mawhirt confirmed a particular programme for Curriculum Quality Leaders (QCL) which broadly looks at people management and to get access to different opportunity – soft skills / meta skills.

In respect of reporting back, S Taylor suggested that an update report be brought back to the Committee approximately 12 months on (March 2023). This was agreed. **S Taylor to progress.**

S Hewitt noted the Workforce Plan will move and shift over the coming months due to the challenges we face and emerging opportunities.

A Mawhirt highlighted the Climate Emergency Action Plan and noted that various elements in terms of staff development and cultural awareness would interlink with the workforce plan and highlighted that there were also links via the recent Future WOW (Ways of Working) event and developments.

The updated Workforce Plan was welcomed.

7. VP PEOPLE AND PERFORMANCE REPORT

S Taylor highlighted the Voluntary Severance Scheme (VSS) that closed at the end of the last calendar year. Applications were being progressed with a number in a position to approve and will report back on progress at the next meeting.

S Taylor noted the National Bargaining position with a national dispute by EIS in respect of the salary offer made. National discussions were continuing with an indicative ballot for industrial action opened. Support staff had not confirmed if their offer has been accepted.

S Taylor highlighted the National Job Evaluation process noting issues still to be agreed around the implementation.

S Taylor noted the promotion of Lee Lappin and the recruitment of Darren Burns as new Head of Sector with both settling into their new roles well.

S Taylor highlighted college awards success with the Holyrood Scottish Public Service Award for Sustainability and 'Lockdown Legend' Sophie Mitchell as Colleague of the year at the College Development Network Awards.

A Mawhirt highlighted the well-received Leadership Development Forum (LDF) that took place in January with John Alexander, Leader of Dundee City Council, as a speaker and the intention to seek other speakers for future events. In addition, the LDF group discussed their own wellbeing, need to connect with one another on a social and work-related basis to continue building excellent working relationships, as well as general feedback on the format of LDF meetings. Feedback captured was being written into plans for future sessions and additional support for the LDF group.

S Taylor noted the 'Last Hour of 2021 Appeal' where a significant number of staff donated their last hour of pay from 2021 to support four charities chosen by our Students Association, our Staff Association, our Trade Unions, and our Senior Leadership Team. The appeal raised £4,500 in total splitting this equally (£1,125 each) between the following four charities: Chest Heart and Stroke Scotland; Feeling Strong; Maggie's Centre Dundee; and Dundee and Angus Women's Rape and Sexual Assault Centre. S Taylor noted that the 'last hour' approach was a very simple and effective way to raise money for charity.

The update was noted.

8. FUTURE WAYS OF WORKING

J Carnegie explained the "Future WOW" project and engagement with students and staff around what D&A would look like after COVID using Services Design principles. There were 380 members of staff who took part in the event with 15,000 comments via electronic post-its. Discussion themes included: Community & Culture; Working and Learning Spaces; Student Experience.

J Carnegie stated that the Team were now looking at scheduling a student event as well as a stakeholder event – shape what the future will be. We are currently in the "user research" phase to be followed by co-creation and co-design. The project would progress incrementally, with ideas being tested and implemented as work developed over the coming year.

9. NATIONAL BARGAINING UPDATE

The update was covered in the VP People & Performance Report (Item 7).

10. STRATEGIC RISK REGISTER

S Taylor noted no proposed changes for the allocated risk for this committee. However, there was a reduction proposed in the likelihood of a significant COVID outbreak due to the level of vaccination.

This paper was approved by the Committee.

11. HR METRICS

The HR Metrics were noted by the Committee.

D Mackenzie asked about the completion rates for mandatory Training & Development (such as GDPR, Display Screen Equipment and Safeguarding). A Mawhirt noted that it was almost impossible to achieve 100% completion given staff absence, turnover etc and that figures above 80% were accepted as strong levels of coverage. A Mawhirt noted that for some areas (e.g., Display Screen training) not every member of staff would be required to complete the training.

12. COVID 19 UPDATE ON HEALTH & SAFETY, LEADERSHIP, WAYS OF WORKING & COMMUNICATION

S Taylor confirmed the College was waiting for the revised Scottish government strategy to inform the steps required around future COVID-19 planning.

J Carnegie stated that the College was still working with face coverings and 1 metre distance on campus but hoped that the expected national guidance would provide a much nicer environment for students and staff to be.

S Taylor noted that the current guidance meant that the College was still working under Level 0 guidance but with hopes for a big shift to planning over the coming weeks/months to return to something close to normality for the next academic year. It was noted that this clarity was important in terms of supporting clear messaging and timetabling.

S Hewitt acknowledged that the College was entering another transitional phase – trying to find our feet and engage staff in how we transition back. S Hewitt noted that staff were looking for a clear approach and steer and that conversations were taking place with teams.

S Taylor noted that there would be some challenges around the return to on campus working, but that these would be picked up and discussed in a supportive way.

S Hewitt stated that most staff and students seemed to have come full circle, from initially liking working from home to now wanting to be back on campus.

13. MEETING MINUTES/UPDATES

The minutes of the JCF and Healthy, Safety and Wellbeing Committee meeting were noted.

14. DATE OF NEXT MEETING – Thursday 5 May 2022

Action Point Summary

Action	Responsibility	Date
Progress update on Workforce Plan to be provided	S Taylor / A Mawhirt	16 February 2023



Human Resources and Development Committee

Thursday 5 May 2022

PAPER C

Matters Arising

BOARD OF MANAGEMENT

Human Resource and Development Committee

Thursday 5 May 2022

Matters Arising



Paper for information

There are no Actions outstanding from the Thursday 17 February 2022 HR&D Committee.

Agenda Item No	Action	Current status	Open / Closed
6	Progress update on implementation of Workforce Plan	Update in February 2023	Open

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



Human Resources and Development Committee

Thursday 5 May 2022

PAPER D

Opportunities and Challenges Paper

Future Opportunities and Financial Challenges Consultation Paper 25 April 2022



1. Overview

Following publication of the [Future Opportunities Update Paper in November 2021](#), a significant number of these projects and changes have been progressed and additional funding and economic development opportunities realised.

Alongside this, however, the limitations of future funding and the immediate impact of the known funding cuts for 2022/2023 have become more apparent and more urgent.

This paper summarises how these two significant and competing pressures will be managed and supported over the coming months so that the College can deliver a stable and sustainable financial platform from which it can focus on and support future opportunities.

As we have been told during other similar exercises and most recently the Staff Survey, most staff want to know key headlines, supported by the rationale for associated decisions. This paper is developed on this basis and provides information on the timeline and steps that are needed to deliver on these key headlines/outcomes:

- enhance our regional engagement and focus on new curriculum and partnership opportunities to meet the economic and broader skills needs of our region;
- make savings of c£1.5 million in our 2022/2023 budget;
- support our changing student demographic and increasing student needs;
- create a stable financial platform for future years.

Each of the above steps is a significant one and will require some difficult decisions to be made around future priorities and areas for investment. The scale of current cuts is similar to those experienced in 2010 and 2018, whilst the opportunities available to us, and the D&A region, are greater than they have ever been. Balancing these two demands and making some difficult short-term decisions for the longer-term benefit of our students and services is required to ensure the long-term success of the College.

2. Curriculum Review and Developments

Over the past couple of years colleges across Scotland have seen a significant decline in applications and recruitment. We have seen a reduction of c 18% in full-time recruitment since 2019, and the current year is the first where our recruitment and activity is likely to fall short of our funded credit target. Some of this impact is likely to be linked to the pandemic, and we can clearly see the impact of a change in Scottish Government policy that has seen an increased number of university places as well as more young people staying on at school has had.

Whilst our application numbers are declining, we have continued to increase our portfolio in many areas. This has had the effect of spreading applications more thinly across our

provision and has seen our college-wide average class size reduce from 14.7 to just 10.5 since 2018/19.

Equally, we are aware that there are a growing number of young people in the region who do not have positive destinations and / or have significant additional needs to be addressed as part of their learning journey. Skills Development Scotland has advised us that 52% of S4 planned school leavers in Angus have an identified Additional Support Need (ASN). The figure in Dundee is around 50% and there are growing concerns around the resilience, motivation, and ability of all school leavers. There are also around 1,000 young people within our region who are not participating in any education, training or employment and have circumstances or needs that disenfranchise them from the education that we offer.

We are seeing these needs in student wellbeing and behaviours, and it is a challenge that we need to be more planned for and will continue to face over the coming years. Meeting the needs of these growing groups will require us to further adapt our curriculum, learning & teaching approaches, and services. This will require changes to our introductory level provision, alongside ongoing support and CPD for staff.

On the positive side, the significant developments taking place in our region are starting to move more quickly and are presenting us with current and future opportunities. Many of these projects are of national (not just regional) significance and include but are not limited to:

- Tay Cities Deal
- Michelin Scotland Innovation Parc
- ESports Arena development
- Eden Project
- HN Next Generation developments
- Post-COVID-19 Economic and Social Recovery
- Post EU arrangements and international learners
- Child Poverty
- Closer local partnerships / collaboration and joint delivery
- Our response to the Climate Emergency
- Our Future Ways of Working

Tay Cities Deal projects are now beginning to progress and the Tay Cities Engineering Project (TCEP) has been approved and business cases for the BioTech and Small and Medium Sized Enterprise (SME) Projects are able to be progressed. All of these projects will provide income and activity streams for the College over the coming years.

Following its approval, TCEP income is funding the redevelopments taking place in the engineering facilities on the Arbroath Campus and this project will support a wide range of curriculum developments and employer / community engagement activities designed to increase interest and application in engineering (and wider STEM) subject areas. This is much needed investment and will benefit engineering in the region (and in the College) for many years to come.

The wider Tay Cities Deal projects present a range of opportunities for the region and we need to ensure our curriculum portfolio and delivery modes reflect the current and future workforce needs of the region.

Although the planned ESports arena is scheduled to open in 2026, we need to develop the curriculum now to ensure we are sector leading in the delivery of ESports education. We are the first college in Scotland to secure an industry partner, ESports Scotland, and discussions are underway with awarding bodies and Abertay University to ensure a seamless career pathway is in place. There is also growing interest from schools which will benefit our recruitment. This is an area which needs investment in order to develop and grow.

The MSIP Skills Academy development offers the potential for D&A to lead on training for green technologies. We will have direct access to industry and cutting-edge equipment bringing access to new technology for our senior phase and full-time learners in addition to commercial opportunities. We have already secured significant funding from various trusts and industry to support initial creation of the Skills Academy. To ensure we can maximise the opportunities we need to invest in staffing, CPD and the curriculum.

The Scottish Government have outlined three clear aspirations for the coming years, and our curriculum and organisational focus needs to align with these. These areas are:

- Economic Recovery & Growth
- Reducing Child poverty
- Green Growth

To help to position the College and our curriculum to meet the demands in new sectors and the changing needs of current sectors, employers, and students we need to progress the following important actions through the current curriculum review and future activities:

- We must continue to modernise our curriculum according to regional demand and prioritise our portfolio, staff input and CPD in areas aligned to the major and growing areas of economic demand. By doing this we will create the best progression and job opportunities for our future students.
- We must deliver on the commitments we have made in the range of key strategic projects we are currently engaged in and seek out further future opportunities.
- We must work with our local authority and community partners to create sustained pathways into education for those currently disenfranchised from learning. This will need us to change what we offer and how we operate for some student groups.
- We need to look at the costs of delivery and efficiency levels and raise the average class size.
- We must maximise our partnerships with both regional and national businesses and agencies to leverage additional funding opportunities into the College.
- We need to investigate and optimise access to other funding sources (such as Modern Apprenticeships, Flexible Workforce Development Fund, commercial activities, and trust funding) to support our skills and learning portfolio.
- We must continue to ensure retention and attainment are key priorities for all staff.
- Our support services will need to operate efficiently, and focus on key deliverables, maximising the use of technology and streamlining process.

3. Financial Strategy

We recently updated the D&A Financial Strategy to reflect our current position and post-pandemic landscape. This includes a range of key financial principles that will guide planning and decision making for teams, managers, and the College as a whole. These are:

- Plan to ensure that we have sufficient cash balances to remain solvent.
- Deliver high-quality learning and skills development to have the greatest impact on supporting regional economic and social recovery.
- Provide the critical skills necessary for students to participate in the new jobs, good jobs, and the green jobs economy.
- Focus on young people; promoting lifelong health and wellbeing; advancing equality and helping young people to grasp their potential.¹
- Question any activity / service / function that does not align to the core business of the College.
- Deliver the College's 2025 Strategy.
- Recognise that financial reductions will cause negative impacts, but seek to minimise negative impacts relative to our other high-level principles.

The strategy acknowledges the impact of the funding cuts on our 2022/2023 budget and highlights the further impact of the projected 'flat cash' settlements for future years. The cumulative effect of these cuts (and unavoidable costs increases) are very significant and would result in the College running out of current cash reserves over the next two years if no action is taken.

This highlights the need for significant savings to be made in the short-term to address the £1.5 million shortfall in 2022/2023 and to allow the College to remain financially sustainable.

A summary of the current financial position is noted below:

	2021/22 Forecast £000's	2022/23 Indicative Budget £000's	Impact +/- £000's
INCOME			
SFC Teaching Grants	32,454	31,550	- 904
Other SFC Grants	3,966	3,860	- 106
Other Income	7,368	7,574	+ 206
INCOME TOTAL	43,788	42,984	- 804

EXPENDITURE			
Total Pay	34,657	35,165	- 508
Non-Pay Expenditure	9,939	9,260	+ 679
EXPENDITURE TOTAL	44,596	44,425	+ 171

CASH SURPLUS/DEFICIT	-808	-1,441	
Cumulative Deficit		-2,249	

Achieving savings of this level will support the College to remain sustainable, but it must be recognised that this does not include the annual cost of the Gardyne Campus Loan (£457k per annum for the remaining 6 years of the loan period) or increase investment in the areas of growth needed to support our regional economy and future student needs.

4. Savings Needed

As a result of tight financial management over the past few years, we are fortunate in having some cash reserves to smooth out this transition, but over the next two years it will be necessary for us to prioritise areas for investment and development and further develop new ways of operating (particularly in terms of partnerships) to attract new sources of income.

With c.80% of expenditure going on staffing and much of the remaining 20% of spending being outwith our control, our main options to make the finances work are to:

- operate ongoing VS arrangements
- run very tight budgets across all aspects of discretionary spend
- maximise income from existing and new contracts / opportunities

We are in a relatively strong financial position because we have been prudent, have made the best we can of additional income opportunities that have arisen, and have operated under very tight rules over what we spend, and which posts we can replace.

Looking forward however, we will need to address the cuts in our funding, be able to finance inevitable salary and cost of living increases and create opportunities for investment in the future. These requirements are always with us, but the recent cuts have forced an urgency in the need to change how we operate. We need to deliver a balanced budget that supports a sustainable cash position so our initial funding gap is therefore c.£1.5m. Actions to address this funding gap need to be identified and implemented very quickly.

5. Solving the Funding Gap - Actions Taken to Date

The threat of a significant reduction in funding has been known for a few months, and the College has already been looking at options and opportunities to make savings and to attract and utilise other sources of income.

The Voluntary Severance options that ran until 31 December 2021 have now been reviewed and outcomes confirmed. From this, full year **savings of c.£350k** will be realised for 2022/2023.

As a result, the following recent applications have been approved under the Voluntary Severance Scheme:

- Lecturer in Construction with associated reduction in curriculum
- 3 x lecturers in Computing with associated reduction in curriculum
- Lecturer in Art & Design with associated reduction in curriculum
- Changes in team leadership and services in Estates
- Changes in Curriculum Support in Landbased

The closure of the Forfar Outreach Centre will create further **savings of c.£100k** for 2022/2023.

As noted above, the approval of the TCEP project and the progress of the BioTech and SME projects will see additional income begin to flow in 2022/2023. It is forecast that this income will exceed £1m in capital and one-off funding in 2022/23 which will enable much needed equipment spend and curriculum development in some of the regional growth areas.

As a result of the above changes, **the total current unresolved funding gap is of £1m** and we need to continue to look at other areas of savings and income opportunities to ensure we meet our objectives outlined above.

6. Next Steps

6.1. Immediate Savings and Actions

There are immediate things we can do to improve our financial position.

We will shortly be launching a fresh Voluntary Severance Scheme and we are also announcing that we want all budget holders to move to essential spend only. We are requesting that we make sure that orders we are placing are absolutely essential to our operations in this current academic year and that all other orders are cancelled or held back until further notice. **This is an immediate action and is active as of the date of this paper.**

Similarly, all staffing requests will be scrutinised very carefully in light of the financial position. We have discussed the possibility of a full freeze on recruitment, and whilst it is never as simple as that, we do need to approach every staffing request on the basis that they will be declined unless there are very compelling reasons to do otherwise.

As part of our budget setting arrangements for 2022/2023 greater scrutiny will be given to the setting of discretionary budgets in discussion with the relevant budget holders to ensure that these are as efficient as they can be.

6.2. Curriculum and Recruitment Review

We are currently in the process of reviewing our curriculum to ensure that this is well matched to future needs and current challenges. As part of this process, we will be considering the future curriculum changes needed and how we can best plan and support these. As this work progresses, we will look at opportunities to reduce activity in some areas so that we can grow in others. Impacts and arrangements arising from this work will be discussed and planned over the coming weeks to ensure that we have a positive, successful future focused portfolio offer that is also efficient in terms of class sizes and current recruitment.

We are also currently monitoring recruitment numbers across our curriculum, to ensure that class sizes going into session 2022/2023 are optimised and that we are not committed to running provision with low numbers.

6.3. Support Services Review

We will also need to review the way that support areas are organised and ask similar questions of their efficiency, effectiveness and value for money as we do in terms of our curriculum. We need to refocus on our key areas of priority activity as a College. Just as all aspects of our curriculum are being reviewed, all support areas will require to be reviewed relative to our priorities, impact in supporting our core business of learning and teaching, and on the cost versus associated income of that service.

It may be that there are activities, projects or services that we are doing that we can no longer afford to deliver, some of those things may be 'nice to have' but sit outwith what we consider to be our absolute core business in the same way as the local authorities are having to prioritise the things that they are bound to deliver by statute and questioning the value of all the other things that they do.

6.4. Voluntary Severance and Other Voluntary Options

The Voluntary Severance scheme will reopen with effect from 2 May 2022 and will remain open until 31 July 2022. Whilst all applications will be considered, particular consideration will be given to staff in any area impacted by changes arising through 6.2 and 6.3 above as these become clearer. A separate Portal announcement will confirm arrangements for the scheme.

Other voluntary options may also be considered. These include opportunities for individual staff to seek part-time working options, winding down arrangements under the relevant pension regulations, or moves to term-time working.

Any member of staff that is interested in potential options of this type should discuss this with their line manager and People Team Advisor.

The Senior Leadership Team will be assessing all areas of our operation to identify the impact of stopping or changing activity and will publish specific and focused proposals for change in the near future.

7. Overall Approach and Outcomes

We are looking at changes designed to reduce costs, boost efficiency, and maintain our student numbers and overall targets. We already have a wealth of feedback on this topic in the staff survey and we will continue to engage in those discussions, as well as discussing the challenges in this paper with staff.

What we need to achieve is not easy, and it will mean that we will be faced with difficult decisions - but we have no choice. We have also been here before, so we know that challenges of this type can be met and that – despite the difficulties faced – the College, staff and students will continue to thrive.

As new opportunities develop and savings plans progress, we may need to phase change over the course of more than one academic year, but we intend to come forward with proposals as early as possible in the current term. This will allow a period of consultation before changes can be made prior to the start of academic year 2022/2023.

The full range of HR support and advice will be available to staff and the VS scheme will be maintained throughout the process. A final draft of this paper was shared with our unions on 21 April 2022, and we have presented the key points in this paper at the JCF meeting on 22 April 2022. We will continue to discuss the processes and proposals for change with the trade unions on an ongoing basis.

We will endeavour to be honest, transparent, and clear in our decision making, and we undertake to communicate as much as possible so that timescales for decisions are clear and understood.

8. Support for Staff

HR support and advice is available to all staff on an ongoing basis. The People Team can be contacted via peopleteam@dundeeandangus.ac.uk or directly through Teams. Your key contacts in the People Team are [noted here](#).

Where there is a potential risk in respect of the areas outlined in section 5, the HR Team will actively discuss opportunities for redeployment and/or retraining with the individual(s) impacted. This will ensure that staff are aware of current and potential opportunities as they arise and will support options within areas where activity is being scaled down for individuals to redeploy to a vacancy within another area and/or role. This may also allow a voluntary severance to be accepted (where it might not otherwise) in one service, with the tasks filled by a member of staff from another area. Any changes of this type will be done through consultation and with the agreement of the staff involved.

During the consultation periods, the email inbox consultation@dundeeandangus.ac.uk can be used to direct all feedback.

All confidential queries and comments can be raised through a dedicated online hotline, again available throughout the period of change: [Access the Hotline](#). Anonymous questions can be asked at any time and responses will be given as soon as practicable.

Executive Team Q&A sessions will be held on each campus and online during the week beginning 16 May 2022 where the content of this paper and related savings plans will be discussed, and questions can be raised. A Portal announcement will confirm arrangements for these sessions.

All information relating to this paper, the ongoing process and updates can be found on this dedicated Portal page: [D&A Opportunities and Challenges 2022](#).

9. Timeline

The timeline for changes proposed through this paper is summarised below.

Date/s	VS	Activities
25 April – 6 May 2022	VS Scheme open 2 May – 30 June 2022	Initial paper and whole-College consultation on initial proposals published. Discussions and planning on potential areas of savings. Feedback & suggestions sought via the Consultation inbox with further opportunity to discuss comments or concerns directly with line managers, the People Team or through the anonymous hotline .
wb 9 May 2022		Publication of draft savings plans published with opportunity for individual consultation with staff and final comment / consultation via the Consultation inbox , with further opportunity to discuss comments or concerns directly with line managers, the People Team or through the anonymous hotline .
10 May 2022		Special Joint Consultation Forum (JCF) meeting with Trade Unions to discuss consultation paper.
11 May 2022		Leadership Development Session to discuss consultation paper.
wb 16 May 2022		Executive Team Q&A sessions for staff
30 May 2022		Consultation on draft savings plans closes
wb 6 June 2022		Final paper published with further opportunity for individual consultation with staff / areas impacted and final comment / consultation via the Consultation inbox , with further opportunity to discuss comments or concerns directly with line managers, the People Team or through the anonymous hotline .
17 June 2022		Close of final consultation.
20 June 2022 onwards		Progress of outcomes.

10. Conclusions

The opportunities and challenges facing the College are significant and present us with the need to make clear decisions and some stark choices around the prioritisation of different competing objectives, activities, and needs. Getting this right is important in terms of maintaining our financial sustainability and is also important in terms of our engagement and involvement in the major economic and employment developments for our region.

There is always a risk that we get blinded by the negative impact that funding cuts and savings plans have, and we undoubtedly need to give these our serious and significant attention over the coming months. We do, however, need to do this without losing sight of the opportunities and developments that are also available to us. This will take input from the whole D&A community, and we hope that you can engage in conversation and contribute to how we meet these joint challenges.



Human Resources and Development Committee

Thursday 5 May 2022

PAPER E

VP People and Performance Report

BOARD OF MANAGEMENT

Human Resources and Development Committee

Thursday 5 May 2022

VP People and Performance Report



Paper for information

1. Voluntary Severance

As noted in previous reports, the College opened the voluntary severance scheme on an enabling basis. This is in recognition of the likely impact that new ways of working (particularly having fewer people on campus at any point in time) and other changes in curriculum and services is likely to have in terms of some roles.

The scheme remained open until 31 December 2021 and received a total of 21 applicants (14 Academic staff and 7 Support staff). Consideration of these applications is now complete, and applications have been approved for 8 members of staff (5 academic and 3 support staff). These applications will result in full year savings of c£350k with a 2021/22 cost of £189k.

As noted within the Opportunities and Challenges paper, Voluntary severance reopened on 2 May 2022 with a focus on supporting the savings plan required to address the projected funding gap for 2022/2023.

2. National Bargaining

Academic Staff Negotiations

As reported to the March Board, national negotiations in respect of Academic staff pay/conditions arrangements for 2021/22 have stalled, with a final offer of £850 consolidated plus £150 non-consolidated) being rejected by the EIS/FELA national negotiating team.

Following on from a statutory ballot, the EIS have given notice of fourteen days of discontinuous strike action. These dates are as follows:

Wednesday 20th April
Tuesday 26th, Wednesday 27th April
Wednesday 4th May*, Thursday 5th May
Tuesday 10th May*, Wednesday 11th May*, Thursday 12th May*
Tuesday 17th May, Wednesday 18th May, Thursday 19th May*
Tuesday 24th May, Wednesday 25th May, Thursday 26th May

(* dates that may impact on SQA exams)

So far, engagement in the strike action has been limited, with c15% of academic staff taking part on each day.

The College took the decision to cancel classes on the first strike day but has not done so on subsequent dates. Whilst some classes have had to be cancelled on these dates, the majority of classes have been able to run as normal.

There have been no issues in terms of picketing or any secondary engagement in strike action.

In addition to the fourteen strike days, the EIS has advised that they have asked members to undertake 'action short of strike action' by refusing to input student results on any College system. This action is scheduled to take place over a 5 month period 20 April 2022 – 30 September 2022. Given the point we are in the year, the impact of this action is minimal, but this will be monitored as the academic semester progresses.

Support Staff Negotiations

In respect of Support staff, the same salary offer has been made and rejected by the support unions (Unison, Unite and GMB). In addition to the salary elements, the support offer included proposed conditions arrangements as follows:

- The introduction of 2 career development days (14 hours) for support staff
- Carry forward of 5 days annual leave (and up to 10 days with manager approval)
- Green travel scheme plus mileage payment for cycling
- Commitments to further discussions and working groups around a range of terms and conditions developments, including the feasibility of a 4 day working week.

Unison have opened a statutory ballot on strike action. The ballot closes on 11 May 2022.

On a more positive note, agreement has been reached nationally on a policy in respect of the application of Annual Leave arrangements and on the set of core terms and conditions of service that form the National Working Practices Agreement (Support NWPA).

2021 Instructors Dispute

Following resolution to the 2021 national dispute with academic staff surrounding the use of instructor roles, a further national dispute has been raised by support unions to the Employers Association as a result of the terms of the [national agreement reached with EIS/FELA](#).

Support unions are unhappy that the review process agreed as a resolution to the EIS/FELA dispute does not involve them in discussions around potential changes to the designation of instructors/trainers (who are support staff).

As reported previously, the national disputes process has been enacted and dispute resolution, but no outcome has yet been reached.

National Job Evaluation

Arrangements in respect of the national support staff Job Evaluation exercise continue to progress slowly, with a further update on this produced in December 2021. Details of work being undertaken is available on the NJNC website: <https://njncscotlandscolleges.ac.uk/job-eval-latest-news/>

It is understood that all D&A job roles within scope of the initial exercise have been scored, although no data on these will be released until evaluation of all job roles in scope for the whole sector have been completed.

Discussions are progressing nationally around arrangements for the increasing number of job roles that are new or updated since the project implementation date of September 2018.

Local Discussions

The College is continuing to seek resolution to the local dispute that was raised in December 2020 in respect of the application of arrangements around the Transfer to Permanency conditions. Discussions in respect of the remaining areas of disagreement are planned, but no further meetings have been held.

3. Staff Survey

The 2022 Staff Survey ran in March, with a total of 461 respondents, making for a robust data set. Headlines are once again positive, with positive responses high across the board, and feedback through anonymous conversations on the most negative responses surprisingly positive.

The poorest scoring question was whether work had a positive impact on the individual's wellbeing, with an 18% negative response (15% rarely, 3% never). These groups were contacted as a priority to ask for more information and offer support, and the themes raised were surprisingly positive, convening around:

- Surprise that they'd answered negatively – 'did I say that? Sorry, mistake'
- No expectation that work would positively impact wellbeing – 'it is not the employer responsibility, therefore I said no'
- Currency of a single item concern – 'Covid restrictions', non-work-related issues like family and health challenges

Due to the significant number of 'sometimes' responses for the wellbeing question, it was the only survey question to score below 70:

I enjoy working in my team	80
I feel I can be myself at work	76
I am satisfied with my learning and development opportunities at work	72
I feel optimistic about the future of D&A	67
I am proud to tell others I work for Dundee & Angus College	76
I would recommend Dundee & Angus College as a great place to work	70
My work has a positive impact on my mental health and wellbeing	57

Given the challenges of the last two years, these results are considered a significant and positive milestone, along with the overall concerns and suggestions raised through the free text responses focusing on 'normal' challenges like communication, workload and working arrangements.

It is notable that the 'dip' below a score of 70 for the future of D&A question relates specifically to new ways of working and whether long term there will be flexibility in working arrangements such as continued working offsite. In addition, it is clear staff are aware of funding concerns and a decrease in applications, however the overwhelming evidence is that the slightly lower score

for the optimistic about the future question relates to home working and flexibility.

Further analysis is being done on the survey, with team results being prepared for managers to review in conjunction with the People Team. The full results have been made available to the Senior Leadership Team, to support their managers with next steps and actions.

At College level, a full report will be published for staff with planned actions, including the information about team level discussions about department reports and feedback.

4. New Ways of Working - #DAFutureWoW

The new ways of working project has continued to progress following the all staff event held in January. Reports are now becoming available on the themes from this event and the 15,000+ pieces of data generated. A student event has taken place, with over 30 students engaging in service design activities to help shape the college of the future.

A joint staff and student service design event will take place on 19th May, where prototyping will begin. In the interim, the Senior Leadership Team will review the reports prepared by Service Design Academy, which include areas of action. At the event, the feedback will be used to begin the process of designing solutions which we can take forward in pilot form, or into College life from the beginning of next session.



5. Teacher Training

This academic session has seen significant numbers of staff progress through the teacher training pathway. A range of teacher training programmes and delivered and supported by the College, from Teaching in Colleges Today (TiCT) induction through to the Teaching Qualification in Further Education (TQFE) at Level 9 or Level 11, dependent on previous qualifications.

This year:

- A total of 36 staff lecturers are due to complete their TiCT induction course, with 24 staff in the year's first cohort and a further 12 in the second cohort
- 22 staff are on course to complete the Teach@D&A course, which is delivered in-house by our Learning and Teaching Mentors
- Our TQFE cohort comprises 11 students, all on course to pass shortly at the final assessment

In addition, a number of staff have progressed through their L&D Awards (assessor / verifier) and a further individual is due to complete their City and Guilds Licentiateship: Learning and Development.

6. GTCS Lecturer Registration

Following the open public consultation run by GTCS and closing in January 2022, the decision was taken to make no change to GTCS' Registration Rules at this point. This has led to further discussions regarding underpinning legislation and GTCS have made their intention to seek legislative change clear to the sector. The legislative change sought would allow the onboarding of all Scotland's lecturing workforce onto a register held by GTCS, something not attainable under current arrangements.

Locally, arrangements are progressing to begin deducting registration fees annually from D&A GTCS registrants at source, much like the arrangements for teachers. Nationally, registration of eligible lecturers is sitting at 59%, with D&A at 72%.

7. Business Continuity – COVID-19

The COVID-19 Business continuity piece is beginning to wind down as COVID mitigations are relaxed or removed. A range of changes were implemented following the return from the April holiday period, including the removal of the need to wear face coverings and the removal of 1m distancing across the campuses. Further changes will be enacted from 2 May 2022 as testing comes to an end and revised guidance is made available on the management of absences and good practice approaches for suspected COVID illness.

College risk assessments have been updated to reflect these changes and updated guidance has been created for staff and students. CO2 monitoring remains in place, and the College has secured an additional 140 monitors through Scottish Government funding.

In supporting this transition previous posters and COVID notifications have been removed and replaced with updated 'Be Kind' branding to encourage staff and students to recognise that this latest transition may be challenging for some of their colleagues.

DA | Be kind

We're really excited that you're on campus. Please enjoy your College experience, follow the protective behaviours and be safe.



You can continue to wear a face covering



Be distance aware



Dress accordingly for well ventilated rooms



Catch coughs / sneezes and dispose of tissues



Wash / sanitise hands regularly



Get vaccinated if eligible

As a part of this development, the College is supporting the national [Distance Aware](#) scheme and has made badges and lanyards available to students and staff.

An update on COVID 19 arrangements will be provided at the meeting.

8. Link to Strategic Risk Register

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

- 2.2 – failure to achieve institutional sustainability
- 3.1 – failure to reach aspirational standards in learning, teaching and service delivery
- 3.3 – Legal actions; serious accident; incident or civil/criminal breach
- 3.4 – failure to meet aspirational standards in respect of the health, safety, wellbeing and development of staff and students
- 3.9 – 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 5 May 2022

PAPER F

Strategic Risk Register

BOARD OF MANAGEMENT

Human Resource & Development Committee

Thursday 5 May 2022



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 May 2022 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.

4. Review of Risks Allocated to the Committee within the COVID 19 Risk Register

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 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)
- 3.11 Significant or catastrophic Covid 19 outbreak/infection rate impacts on ability to deliver learning, teaching or other core services.
- 3.12 Post pandemic ways of working and workforce planning fails to meet the needs of staff and College strategic/operational needs

Following review of COVID related guidance and arrangements as at 22 April 2022 no changes are proposed in respect of the risks allocated to the Human Resource & Development Committee.

5. Approval

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

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



STRATEGIC RISK REGISTER COVID 19 SPECIFIC MITIGATIONS

2021 - 2022

As at May 2022

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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	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) Reduced given experience to date during the pandemic	4	4	16	<ul style="list-style-type: none">Regular strategic analysis and assessment of need for changeStrong engagement with government and key partners – influencing national prioritiesClear prioritisation of activitiesFocus on core business	4	2	8	<ul style="list-style-type: none">Regular monitoring of recruitment, retention, ROA Outcomes and key strategic needs by SLT and reporting to ChairsAmendment of strategic direction/ plansRolling curriculum, activity and priority review and implementation of new approaches/services where neededEngagement with government and other partners	Principal & Chair
1.4 Board	Difficulties or over commitment arising within large scale/national College led initiatives or projects impact negatively on: <ul style="list-style-type: none">Ability of the College to meet key regional strategies/objectivesFinancial loss or unmanageable financial riskReputational loss Reduced given experience to date during the pandemic	4	3	12	<ul style="list-style-type: none">Clear prioritisation of activitiesEffective project/activity management in placeStrong engagement with partners/fundersClear governance structuresProject/initiative finances clearly understood and reviewed regularlyProject cessation, pausing or contingency planning in place	3	2	6	<ul style="list-style-type: none">Regular project updates at Executive/Board levelMonitoring of project activities, plans and outcomesBudget reporting and management	Principal, 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

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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	Additional COVID 19 Mitigation Actions	Impact	Likelihood	Score	Additional COVID 19 Monitoring	Lead Responsibility
1	Strategic and Structural									
1.7 Board	Post pandemic planning fails to meet the needs of the D&A Region and/or national priorities on economic and social recovery	4	3	12	<ul style="list-style-type: none"> 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 Revised economic and social recovery activities 	3	2	6	<ul style="list-style-type: none"> Regular monitoring of new/updated activities and outcomes 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 Employer and Community engagement 	Principal

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

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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	Responsibility
2	Financial									
2.2 F&P	Failure to achieve institutional sustainability Increased to reflect Strategic Risk Register	5	4	20	<ul style="list-style-type: none"> 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	4	16	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Continuous review of financial controls and revised arrangements 	VPCS

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

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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
3	People and Performance									
3.1 LT&Q	Failure to reach aspirational standards in learning, teaching and service delivery	4	3	12	<ul style="list-style-type: none"> 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	2	6	<ul style="list-style-type: none"> 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. Reduced given experience to date during the pandemic	4	3	12	<ul style="list-style-type: none"> Engagement and communication strategy with compliance bodies Clear input and engagement with revised quality arrangements and priority actions Prioritisation of activities/outcomes 	2	2	6	<ul style="list-style-type: none"> Effective internal monitoring/review/verification arrangements Engagement with revised quality arrangements and contingency plans Outcome monitoring/recording 	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

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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
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	<ul style="list-style-type: none"> • 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	2	6	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Marketing strategy • Reputation plan • Positive marketing approaches • Outbreak management communications plan 	3	2	6	<ul style="list-style-type: none"> • Positive marketing plan • Regular stakeholder engagement • Social media engagement and monitoring arrangements 	Prin DirC&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

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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
3	People and Performance (cont.)									
3.7 HRD	Industrial Relations Problems (including industrial action)	4	5	20	<ul style="list-style-type: none"> Adherence to legislative and good practice requirements Positive Union relations and staff communication Effective management engagement and support 	4	2	8	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Active data protection awareness raising Effective information and data security policies in operation Regular data security monitoring/testing Staff CPD 	VPC&A, HoICT
3.11 HRD	Significant or catastrophic Covid 19 outbreak/infection rate impacts on ability to deliver learning, teaching or other core services	4	3	12	<ul style="list-style-type: none"> Clear scenario and contingency planning COVID 19 H&S mitigations in place, monitored and adapted where required All appropriate government guidance followed 	3	1	3	<ul style="list-style-type: none"> Monitoring of COVID 19 cases and absences Outbreak management arrangements Amendment to support prioritised services 	Principal VPC&A

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	SLT	Senior Leadership Team	DirC&A	Directors of Curriculum & Attainment	1	Routine	Remote
	Board	Board of Management	HoICT	Head of ICT	2	Minor	Unlikely

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

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
3	People and Performance (cont.)									
3.12 HRD	Post pandemic ways of working and workforce planning fails to meet the needs of staff and College strategic/operational needs	4	3	12	<ul style="list-style-type: none"> New ways of Working Workstream Updated and flexible Workforce planning Extensive engagement with unions / staff on future ways of working Monitoring and rapid action on staff turnover / recruitment 	3	2	6	<ul style="list-style-type: none"> Regular monitoring and evaluation of new/updated ways of working, activities and outcomes Amendment of direction/ workforce plans Engagement with unions/staff Monitoring and rapid action on staff turnover / recruitment 	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

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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	Responsibility
4	Infrastructure									
4.3 A&R	Breach of ICT/Cyber security	4	3	12	<ul style="list-style-type: none">Effective management of ICT arrangementsActive ICT/data security monitoring and cyber security policyAdditional awareness raising of WFH risks and COVID related ‘scams’	4	2	8	<ul style="list-style-type: none">Staff awareness raising/CPD on cyber security issuesRegular security monitoring/testingCyber resilience plan	VPC&A, HoICT
4.5 LT&Q	ICT/Cyber failure significantly disrupts online learning, teaching or other core services	4	3	12	<ul style="list-style-type: none">‘Cloud first’ strategy implementation for major services/systemsClear and robust management of ICT systems	3	1	3	<ul style="list-style-type: none">Systems monitoringOn-going cyber resilience and systems development	HoICT



STRATEGIC RISK REGISTER

2021 - 2022

As at May 2022

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

Risk Number & Committee	POTENTIAL CONTRIBUTING FACTORS				TREATMENT	POST MITIGATION EVALUATION				
	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Lead Responsibility
1	Strategic and Structural									
1.1 LT&Q	Failure of College strategy to meet the needs of the D&A Region and/or national priorities (eg Employability, DYW, attainment, articulation)	4	4	16	<ul style="list-style-type: none">Robust strategic planningEffective environmental scanningStrong partnershipsClear links between strategy and practiceConcerted demands for increased activity levels	4	2	8	<ul style="list-style-type: none">Robust monitoring via ROAClear performance metricsAmendment of strategic direction/ plansRolling curriculum review	Principal & Chair
1.2 Board	College may be disadvantaged by changes to either UK or Scottish Government policies	4	3	12	<ul style="list-style-type: none">Effective environmental scanningNegotiation/influence at national level	4	2	8	<ul style="list-style-type: none">Review of changes and amendment of strategic direction/plansFinancial strategy sensitivities	Principal & Chair
1.3 Board	College disadvantaged by changes arising from UK leaving European Union	5	4	20	<ul style="list-style-type: none">Negotiation/influence at national levelReview of activities/ projectsResponsiveness to new opportunities	5	2	10	<ul style="list-style-type: none">Review of changes and amendment of strategic direction/plans/ curriculumFinancial strategyWorkforce planningInternational strategy & planningPost Brexit planning	Principal

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

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

Risk Number & Committee	POTENTIAL CONTRIBUTING FACTORS				TREATMENT	POST MITIGATION EVALUATION				
	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Lead Responsibility
1	Strategic and Structural									
1.4 Board	Difficulties or over commitment arising within large scale/national College led initiatives or projects impact negatively on: <ul style="list-style-type: none">Ability of the College to meet key regional strategies/objectivesFinancial loss or unmanageable financial riskReputational loss	4	3	12	<ul style="list-style-type: none">Effective project/activity management in placeClear governance structuresProject/initiative finances clearly incorporated within College financial strategy and plansEnd of project and exit/contingency planning	3	2	6	<ul style="list-style-type: none">Regular project updates at Executive/Board levelMonitoring of project activities, plans and outcomesClear project Management arrangements in placeBudget reporting and management	Principal, VPC&A
1.5 Board	College disadvantaged as a result of changes arising from major national educational body reviews: SFC, SQA, EdS	4	4	16	<ul style="list-style-type: none">Negotiation/influence at national levelReview of activities/ projects and response to new opportunities	4	1	4	<ul style="list-style-type: none">Robust monitoring via ROAAmendment of strategic direction/ plansRolling curriculum review	Principal

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

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

Risk Number & Committee	POTENTIAL CONTRIBUTING FACTORS			TREATMENT		POST MITIGATION EVALUATION				
	Risks	Impact	Likelihood	Score	Mitigation Actions	Impact	Likelihood	Score	Monitoring	Lead Responsibility
1	Strategic and Structural									

1.6 Board	Failure of D&A plans and activities to deliver on required carbon reductions and sustainability actions necessary to meet national targets and achieve College climate emergency ambitions.	4	3	12	<ul style="list-style-type: none"> Robust CEAP in place Multiple strands of activity/action Embedding sustainable practices in normal activity and ways of working Clear links between strategy and practice Planned investment in carbon reduction Sustainable procurement 	4	2	8	<ul style="list-style-type: none"> Robust monitoring and reporting of CEAP at SLT and Board level Clear performance metrics Amendment of strategic direction/ plans Monitoring of scope 3 emissions 	VPCS, HoE
--------------	---	---	---	----	---	---	---	---	---	-----------

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

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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	Responsibility
2	Financial									
2.1 F&P	Change in SFC Funding Methodology and Allocation – Reduction in Funding	3	3	9	<ul style="list-style-type: none"> Negotiation/influence at national level Contingency plans for reduced funding 	2	3	6	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	4	16	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Influence within Employers Association Management of staffing expenditures 	4	3	12	<ul style="list-style-type: none"> Expenditure modelling On-going discussions with staff Financial strategy sensitivities Workforce planning 	VPP&P, VPCS

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

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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
2	Financial (cont)									
2.4 A&R	Financial Fraud	4	3	12	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> On-going dialogue with Foundation Trustees Appropriate bid arrangements in place 	3	2	6	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Monitoring of capital plans and expenditures Regular review of capital plans/timescales relative to funds 	VPCS

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

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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
3	People and Performance									
3.1 LT&Q	Failure to reach aspirational standards in learning, teaching and service delivery	4	3	12	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Adherence to legislative and good practice requirements Positive Union relations and staff communication Effective management development programmes 	3	2	6	<ul style="list-style-type: none"> 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

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

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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
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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Marketing strategy Reputation plan Positive marketing approaches 	4	2	8	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Influence within Employers Association Management of bargaining outcomes and implementation 	4	3	12	<ul style="list-style-type: none"> Positive union relations and staff communication On-going discussions with staff Innovation in approaches 	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

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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
3	People and Performance (cont.)									
3.7 HRD	Industrial Relations Problems (including industrial action)	4	5	20	<ul style="list-style-type: none"> Adherence to legislative and good practice requirements Positive Union relations and staff communication Effective management development programmes Industrial action continuity planning 	4	2	8	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Effective management of GDPR compliance Mandatory staff CPD and awareness raising on data protection (relative to role) 	4	2	8	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Prevent training Staff awareness and contingency planning Engagement/practice sharing with local agencies 	5	1	5	<ul style="list-style-type: none"> Business Continuity Plan including scenario testing Information sharing with local agencies 	VPC&A, VPP&P

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

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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
3	People and Performance (cont.)									
3.10 HRD	College arrangements do not minimise risk associated with Modern Slavery	4	3	12	<ul style="list-style-type: none"> Clear and compliant procurement arrangements and procedures Staff identity checking arrangements and use of PVG. 	4	1	4	<ul style="list-style-type: none"> Annual procurement monitoring/reporting Regular employee engagement monitoring Open communication with staff 	VPC&A, VPP&P

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

Post Holders	ELT	Executive Leadership Team	Prin	Principal	Score	Impact	Likelihood
	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	Responsibility
4	Infrastructure									

4.1 A&R	Disasters – eg Fire, MIS Failure, Failure of Emergency Procedures	5	4	20	<ul style="list-style-type: none"> Sound systems of administration Clear fire and disaster recovery arrangements Staff CPD 	5	1	5	<ul style="list-style-type: none"> Business Continuity Plan including scenario testing 	Principal & VPCS
4.2 F&P	Failure to achieve ambitions of Digital strategy; strategy and development is ineffective	4	3	12	<ul style="list-style-type: none"> Planning, careful phasing of changes to processes and systems Effective management of ICT arrangements Clear investment plan 	4	2	8	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Effective management of ICT arrangements Active ICT/data security monitoring and cyber security policy 	4	2	8	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Effective infrastructure and systems design and implementation Effective management of ICT arrangements and GDPR compliance 	4	2	8	<ul style="list-style-type: none"> Active data protection monitoring and auditing Effective information and data security policies in operation Regular data security monitoring/testing 	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



Human Resources and Development Committee

Thursday 5 May 2022

PAPER G

HR Metrics

BOARD OF MANAGEMENT

Human Resources and Development Committee

Thursday 5 May 2022



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

2021/22 Headcount		% Split	2020/21	2021/22 FTE		% Split	2020/21
Teaching	392	45.4%	440	Teaching	317.0	44.2%	315.3
Other	472	54.6%	443	Other	396.9	55.8%	337.3
Total	864		883	Total	716.7		652.6

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					
	2020/21	2019/20		2020/21	2019/20
Total Credits: Staff FTE	167:1	169:1	Total Credits: Teaching Staff FTE:	348:1	363:1

Female & Male Headcount		% Split	2020/21	Temporary & Permanent FTE		% Split	2020/21
Female	557	65.8%	63.2%	Temporary	99.1	11.6%	13.7%
Male	332	34.2%	36.8%	Permanent	623.6	88.3%	86.3%
Other							
Total	847			Total	722.7		

Diversity Data Held	%
Ethnicity/Race	49%
Disability	52%
Gender Pay Gap	7.3%
Diversity Data Gaps	40%

Staff Absence Data (year to date)

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

	Staff Absence Rolling Year to 31/03/22	Staff Absence Rolling Year to 31/01/22
Average working days lost per headcount	6.99 days	6.90 days
Working time lost	2.69%	2.22%
Comparison with sector/national rates UK All Sector rate (CIPD 2020) UK Public Sector rate (Unison 2016)	2.6% 3.4%	

Absence Analysis (Incidents)	Rolling Year to 31/03/2022	Rolling Year to 31/01/22
Long Term Absences (4 weeks or more)	99	84
Short Term Absences	589	520
Stress Related Absences – Work related	20	14
Stress Related Absences – Non-work related	86	74

Other HR Metrics

	2021/2022	2020/2021
Staff Turnover Rate (non-forced)	0.91%	6.19%
Employee Hearings		
Discipline	3	5
Grievance	1	4
Tribunal Actions	0	0
Recruitment Exercises	54	131
Current Vacancies	4	

3. OD Metrics

	YTD 2021/22	2020/21 Full Year
Engagement with Leading Learning Academy (per team)	100%	100%
Number of internal CPD events delivered and external events supported	306	422
Number of attendances at internal and external CPD events	2114	643
Organisational Development budget per employee headcount	£110	£110

Engagement survey ratings (annual/periodic)	-	Engagement: 83% (Pulse Survey 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 2021/22	New Starts	Not Started	In progress: On Track	In progress: Behind	Completed	Total
Academic	8	0	8	0	0	0
Support	16	0	16	0	0	0

Training & Development Completion Rates

Activity	2021/22 Completion Rate to date
Development Reviews	54%
Mandatory Training	
Safeguarding	91%
Health & Safety	86%
Fire Safety	88%
GDPR	22%*
Equalities	90%
Display Screen Equipment	81%
Cyber Security	21%*

The above figures represent completion rates since the introduction of the new mandatory online training matrices in August 2020. As we have transitioned to a new training provider, we have set A/Y 2020-21 as the 'roll-over' year in which all staff must complete all modules. From 2021-22, we will follow themed years, in which all staff complete 2 or 3 set courses (i.e. H&S related) per academic session, completing all courses over a 3-year rolling basis.

Mandatory training elements had 100% completion over the previous 3-year cycle, which was administered in the previous supplier system. Development Review completion for 2019-20 was c.50% as we launched and monitored initial pilot groups.

***Please note the drop in Cyber Security and GDPR is due to the themed year commencing and the courses being reset. [Link to Strategic Risk Register](#)**

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: Karen Buchan, HR Manager / Colin Lynagh, Business Intelligence Officer

Executive Sponsor: Steve Taylor, Vice Principal People and Performance