

**S1.03, Stirling**  
**4.30pm (refreshments available from 4pm)**

**AGENDA**

1. Declarations of interest
2. Apologies

**FOR APPROVAL**

3. Minutes of Meeting of 10 November 2015 and 7 June 2016

(Elements of this paper are withheld from publication on the Forth Valley College website under Section 36 Confidentiality of the Freedom of Information (Scotland) Act 2002.)

4. Matters Arising
  - a) H/15/014 Update on Second Cultural Survey
  - b) H/15/015 Staff Development – August 2016

**FOR DISCUSSION**

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|---|----------------|
| 5. Health and Safety Update                 | Fiona Duff     |
| 6. Complaints Overview 2015/16              | Stephen Jarvie |
| 7. Staffing Establishment Update Q4 2015/16 | Steven Still   |

(Elements of this paper are withheld from publication on the Forth Valley College website under Section 38 Personal Information of the Freedom of Information (Scotland) Act 2002.)

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|---|--------------|
| 8. Staffing Establishment Update Q1 2016/17 | Steven Still |
|---|--------------|

(Elements of this paper are withheld from publication on the Forth Valley College website under Section 38 Personal Information of the Freedom of Information (Scotland) Act 2002.)

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|--------------------------------------|---------------|
| 9. People Strategy                   | Andrew Lawson |
| 10. Workforce of the Future (verbal) | Andrew Lawson |
| 11. Review of Risk                   |               |
| 12. Any other competent business     |               |

**FOR INFORMATION**

Programme of Committee Business

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**Room A204, Alloa Campus (commencing at 4.30pm)**

Present: Mrs Beth Hamilton (Chair)  
Mrs Fiona Campbell  
Mr Nigel Scott

Apologies: Mrs Anne Mearns  
Mr Steven Tolson

In Attendance: Mr Andrew Lawson, Associate Principal and Executive Director, HR and Operational Effectiveness  
Mr Steven Still, Head of HR  
Mr Stephen Jarvie, Corporate Governance and Planning Officer  
Mrs Claire Shiels, Head of Facilities Management and Health and Safety (for item H/15/004 only)

**H/15/001 Declarations of Interest**

None.

**H/15/002 Minutes of meeting held on 9 June 2015**

The Minute of the meeting of 9 June 2015 was accepted as an accurate record.

**H/15/003 Matters arising**

a) H/14/23 National Recognition Procedure Agreement

The Chair noted that the National Recognition Procedure Agreement (NRPA) had been approved at the last meeting of the Board of Management and requested an update on progress within the sector.

The Associate Principal and Executive Director, HR and Operational Effectiveness reported that information had been received from College's Scotland indicating that all Colleges had now signed up to the NRPA.

He reported that College's Scotland had provided a statement for issuing to staff regarding the impact on NRPA on their terms and conditions. This statement is currently being checked by the College's lawyers before it will be issued.

He provided members with examples of what the impact on College staff terms and conditions could possibly be.

He also reported that both of the College's recognised trade unions have announced that they will be balloting members on strike action linked to pay negotiations. HR staff are working with Departments to put in place mitigation however the effectiveness of this would be dependent on the type and timescale of any industrial action.

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Members requested confirmation that this is part of a national approach and not specific to the College.

The Associate Principal and Executive Director, HR and Operational Effectiveness confirmed that this was a national issue and outwith the direct control of the College.

b) H/14/25 Living Wage Registration

The Head of HR confirmed that the College was proceeding with the Living Wage registration. He informed members that the College already fully complied with the living wage and that, as part of the registration, the College was required to work with contractors and sub-contractors to ensure their staff receive the living wage or that they are working towards this position.

He confirmed that this work was underway and that the College anticipated being accepted onto the Living Wage register.

c) H/14/029 Any Other Competent Business

The Associate Principal and Executive Director, HR and Operational Effectiveness noted that members had queried the format of the Equalities report at the last meeting. He confirmed that the format of the report would be changed to match previous versions which had been more user friendly.

**H/15/004 Health and Safety Update**

The Head of Facilities Management and Health and Safety presented a report outlining the College's performance against Health, Safety and Sustainability.

She informed members that overall the College was performing well however there were two KPI's, travel and printing, where further work was required.

She highlighted the new College process for travel arrangements to ensure full utilisation of the College electric vehicles and also future developments to change people's approach to travel and the use of other avenues such as electronic means for meetings across campuses.

Members welcomed this approach and suggested that the College's new approach to creative learning and thinking could be of value here.

She noted that the College had recently won a College Development Network award for sustainability and that this good work would be further built upon by using the self-assessment tool from the Learning In Future Environments (LIFE) awards to audit activity.

She reported that Health and Safety targets for last year had been met and there had been no RIDDOR incidents within the College.

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Members highlighted that the Audit Committee were considering the Internal Audit plan for the coming 3 years and that Health and Safety was one of the areas which will be audited. Members queried whether the proposed approach of the College Internal Auditors of a single, in depth audit of Health and Safety was the best approach or whether this activity should be spread out over the three years of the plan.

The Head of Facilities Management and Health and Safety indicated that, owing to the complexities of Health and Safety, her preference would be a single, in depth audit as this would be most likely to identify areas for improvement and provide assurance to the Audit Committee.

- a) Members noted the content of the report and noted their thanks to the team for their continued efforts

**H/15/005 Staff Development**

The Head of HR provided a report outlining the recent staff development days for lecturing staff and support staff who work directly with students. The staff development session focussed on the theme of creative learning and appeared to have been very well received with staff volunteering for further participation via the Colleges Creative Learning Action Community.

Members noted that attendance levels, while very good, did not appear to have risen against last year and asked if this was a concern. The Head of HR clarified that, when factoring in ongoing commercial activity and staff illness rates, an 80% attendance rate was what had been expected.

- a) Members noted the content of the report and welcomed the College's focus on creativity and innovation

**H/15/006 Staffing Establishment Update**

The Head of HR presented an update on the College staffing establishment which compared current establishment against previous years and highlighted areas of change.

Members queried if there was a way to correlate increases in staffing numbers to either increased student numbers or increased results.

The Head of HR noted that this kind of direct comparison was not possible as the staffing establishment includes staffing directly related to contracted commercial activity.

The Associate Principal and Executive Director, HR and Operational Effectiveness assured members that there were processes in place to ensure the College maintains appropriate staffing levels and outlined recent activity which is ongoing as part of changes to demand patterns for courses.

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The Head of HR also updated members on the new approach to recruitment advertisement used by the College and highlighted the advantages to the College both in terms of cost and also ensuring that the adverts reach an appropriate audience.

Members congratulated the Head of HR on the significant reduction in advertisement costs.

- a) Members noted the content of the report.

**H/15/007 Complaints Overview 2014/15**

The Corporate Governance and Planning Officer presented members with a report on the complaints received by the Principal in 2014/15.

He outlined the College's approach to complaint handling and how the College used complaints to deliver improvements and noted that this had resulted in a significant reduction in the number of complaints received annually.

- a) Members noted the content of the report

**H/15/008 Review of Risk**

Members noted the potential industrial action by the College's recognised trade unions as a risk.

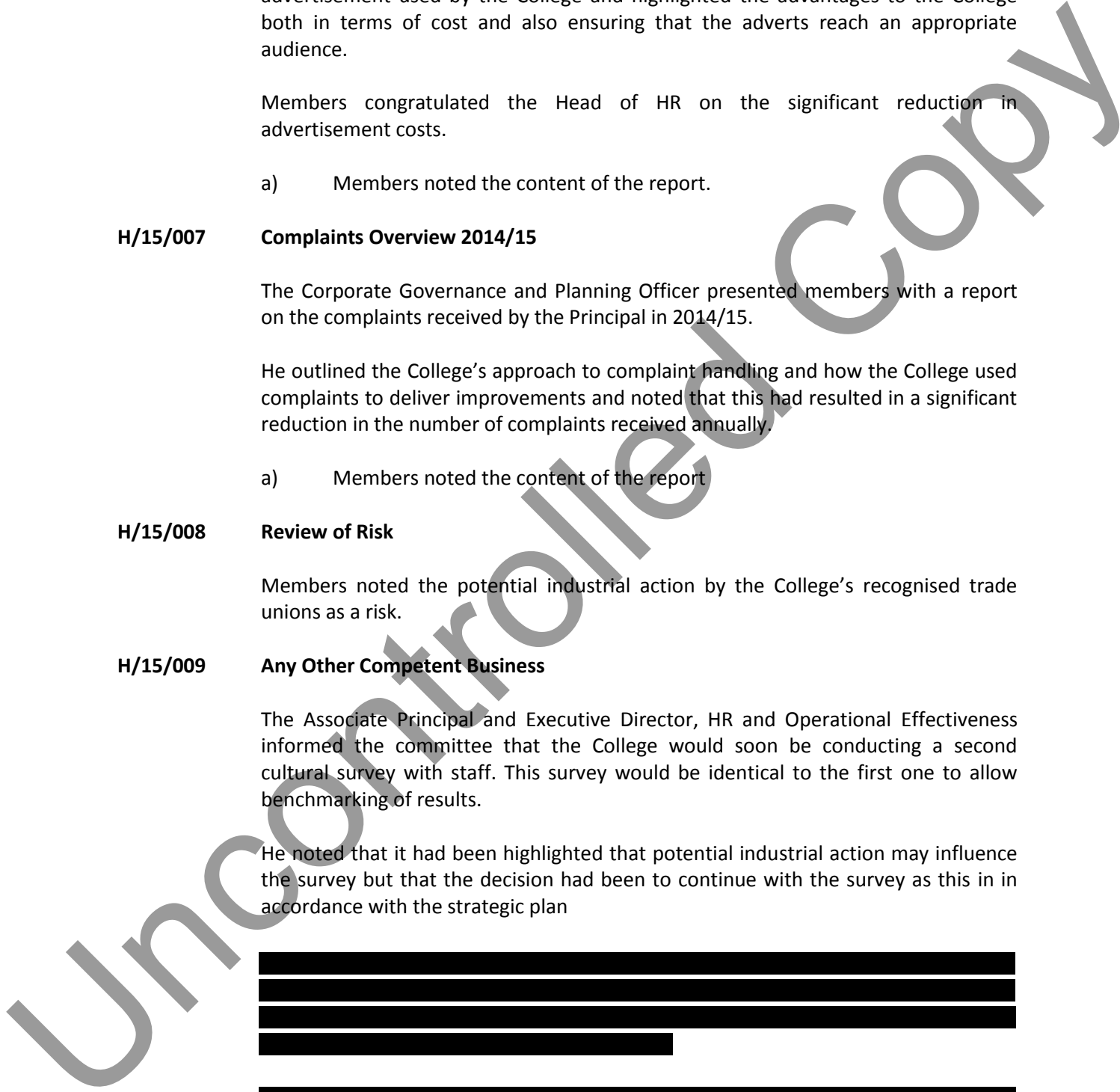
**H/15/009 Any Other Competent Business**

The Associate Principal and Executive Director, HR and Operational Effectiveness informed the committee that the College would soon be conducting a second cultural survey with staff. This survey would be identical to the first one to allow benchmarking of results.

He noted that it had been highlighted that potential industrial action may influence the survey but that the decision had been to continue with the survey as this in accordance with the strategic plan

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**Room A204, Alloa Campus (commencing at 4.30pm)**

Present: Mrs Beth Hamilton (Chair)  
Mrs Fiona Campbell

Apologies: Mrs Anne Mearns  
Mr Steven Tolson

In Attendance: Mr Andrew Lawson, Associate Principal and Executive Director, HR and Operational Effectiveness  
Mr Steven Still, Head of HR  
Mr Stephen Jarvie, Corporate Governance and Planning Officer  
Mrs Claire Shiels, Head of Facilities Management and Health and Safety (for item H/15/013 only)

**H/15/010 Declarations of Interest**

None.

**H/15/011 Minutes of meeting held on 10 November 2015**

Members did not highlight any changes to the minute of the 10 November 2015 meeting. As this meeting is not quorate, final approval of the minute is deferred to the next committee meeting.

**H/15/012 Matters arising**

a) H/15/009 Any Other Competent Business

The Chair noted that an update on the second staff cultural survey would be provided under H/15/014

**H/15/013 Health and Safety Update**

The Head of Facilities Management and Health and Safety presented a report outlining the College's progress with Health and Safety and sustainability.

She confirmed that the College was on track to meet its accident targets for the year.

She outlined the reduction in the cuts and lacerations category and described the changes to practice which accompanied this.

She also noted that the College was on target for all sustainability PI's.

Members requested further information on how the College ensures staff in particular roles undertakes the necessary compliance training.

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The Head of Facilities Management and Health and Safety and the Head of HR outlined the process used to ensure both new staff undertook this training and that existing staff undertake refresher training at required intervals.

- a) Members noted the content of the report

**H/15/014 Update on Second Cultural Survey**

The Associate Principal and Executive Director – HR and Operational Effectiveness circulated a draft version of the survey report for comment. He noted that the report was still being finalised and that the final version would be taken to the Board later in the month for approval.

He highlighted the positive engagement and comments along with the main themes for negative comments. He confirmed that comments had been aggregated and were being used as the basis for developing an action plan.

He confirmed that the action plan would be brought to a future meeting of the committee.

Members queried the response rate of staff (54%) and asked if the College had promoted the survey fully.

The Associate Principal and Executive Director – HR and Operational Effectiveness confirmed that the survey had been widely publicised but that the College would look to improve on this response rate when the next cultural survey is undertaken in 2 years time.

- a) Members noted the content of the report

**H/15/015 Staff Development – August 2016**

The Head of HR provided a report covering the February 2016 support staff development sessions and the outline for the next academic staff development at the start of the 2017/18 academic year.

He highlighted the increase in compliance based training as well as the flexible nature of the training and the increase in cross-departmental training.

He confirmed that the next Academic Staff Development session would again focus on creative learning for the first day and then have some mandatory compliance based training for the second day.

Members welcomed the continued focus on staff development and recommended that the College should seek wider recognition for the improvements in staff development through applications for appropriate awards.

- a) Members noted the content of the paper
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**H/15/016 Staffing Establishment Update**

The Head of HR presented the regular update on the College staffing establishment. He confirmed that there were no issues of concern and reported that the systems in place ensured robust challenge was provided whenever new posts were requested.

- a) Members noted the content of the report

**H/15/017 Review of Risk**

Members noted that National bargaining remained a risk

**H/15/018 Any Other Competent Business**

The Associate Principal and Executive Director, HR and Operational Effectiveness informed members that he had been appointed to the Employer's Association. This is the group that would make recommendations to the NJNC in relation to National Bargaining.

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### 1. Purpose

To provide SMT members with an update on the Health and Safety performance and Sustainability developments in relation to the college session 2016-2017. The update includes the following;

- performance against the Health and Safety Committee key performance indicators;
- information relating to the sustainability performance indicators (Appendix A)

### 2. Recommendation

- To note the continual improvements with health and safety and associated performance indicators.
- To note the outcomes illustrated on the sustainability key performance indicators for 2015-2016.

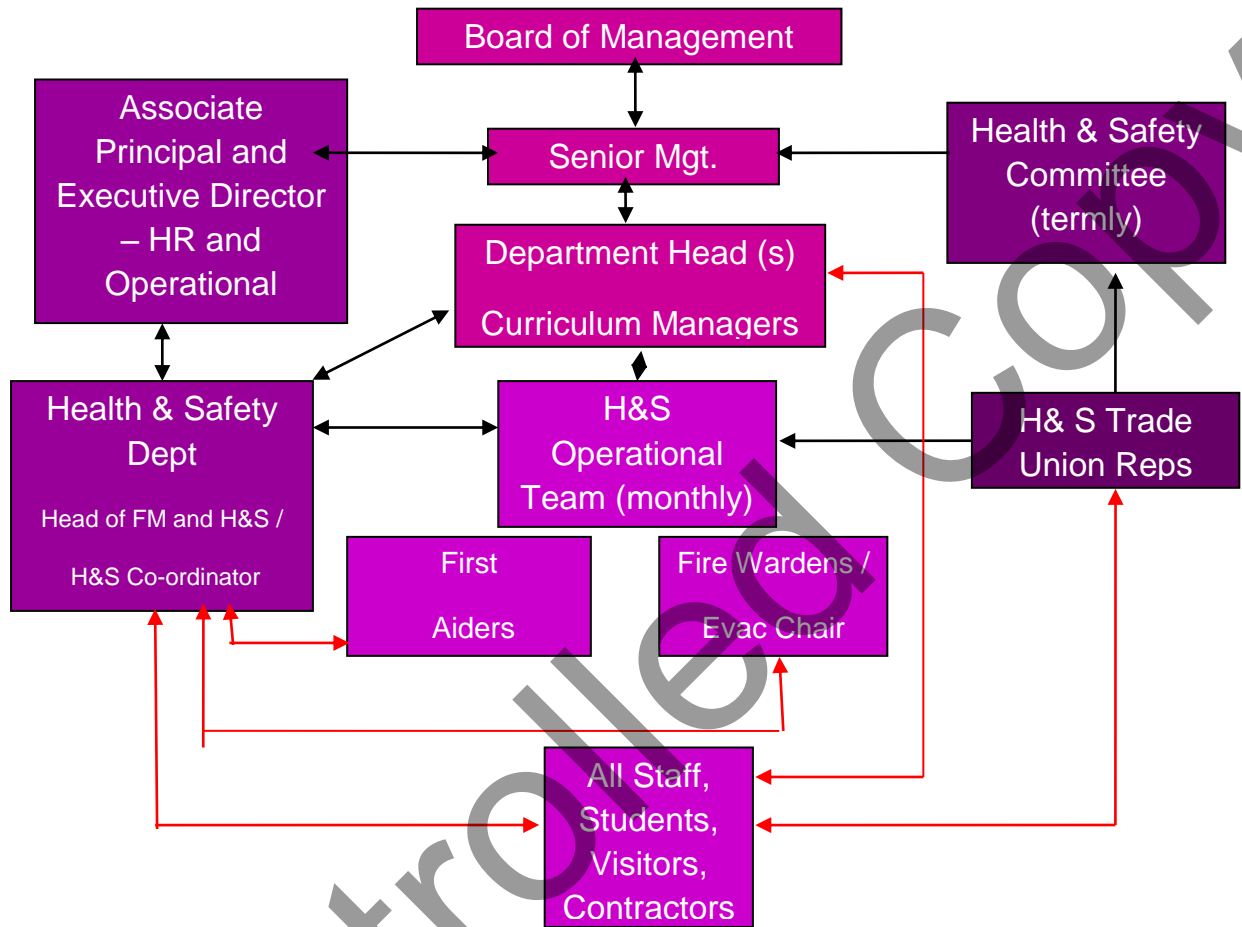
### 3. Background

A positive health and safety culture in any organisation should include the following five key areas. This report offers the college position against each of these areas. All objectives are listed and tracked through the Estates Operational Plan and Risk Register.

- Accident and Incidents
- Statutory Obligations
- Competency and Training
- Occupational Health
- Safety Culture

These points are progressed in line with the Health and Safety Structure-

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In addition to the Estates Operational Plan, the College has a series of scheduled safety audits/inspections and carries these out in conjunction with the College TU HS Representatives.

It was noted in the previous report that the results of inspections were consistently achieving in excess of 90%.

Prior to commencing the inspection schedule, housekeeping audits are always carried out at the start of the session and this reinforces the position for the year ahead. The following table illustrates the planned schedule for 2016-2017, in date order and progress to date:

Alloa	Department	% of compliance
30/09/2016	Care, Health and Sport	98%
21/04/2017	Housekeeping Tour – all areas	
Stirling	Department	% of compliance
07/10/2016	Creative Industries	91%
28/04/2017	Construction	
Falkirk	Department	% of compliance
04/11/2016	Hospitality and Salon Services - Hospitality	96%
11/11/2016	Business	
18/11/2016	Marketing and Communications	

06/01/2017	Estates and Facilities / Business Development	
13/01/2017	Hospitality and Salon Services – Hair and Beauty	
03/03/2017	ITNSU	
24/03/2017	Student Centre	
05/05/2017	EICE/ASMME Workshops	
19/05/2017	Core and Essential Skills	
02/06/2017	Executive Office	

### Summary of Inspections/Actions;

Any actions arising from the HS Audits are logged on the College SharePoint system, Audit Tracker.

From all previous audits there are 17 outstanding actions, and these are summarised below by Department. Some actions are recent or are currently being progressed as part of a Capital/Revenue request, and will remain on the list until the budget has been allocated. These actions are low risk. Any medium or high risk actions are progressed immediately as a priority.

Department	Number of Outstanding Actions
Applied Science Maths and Mechanical Engineering	2
Care, Health and Sport	1
Creative Industries	6
Estates and Facilities	2
Finance	1
Hospitality and Salon Services	5
<b>Total</b>	<b>17</b>

Remedial work in progress for the 17 outstanding actions with 1 action being completed this session.

### Sustainability

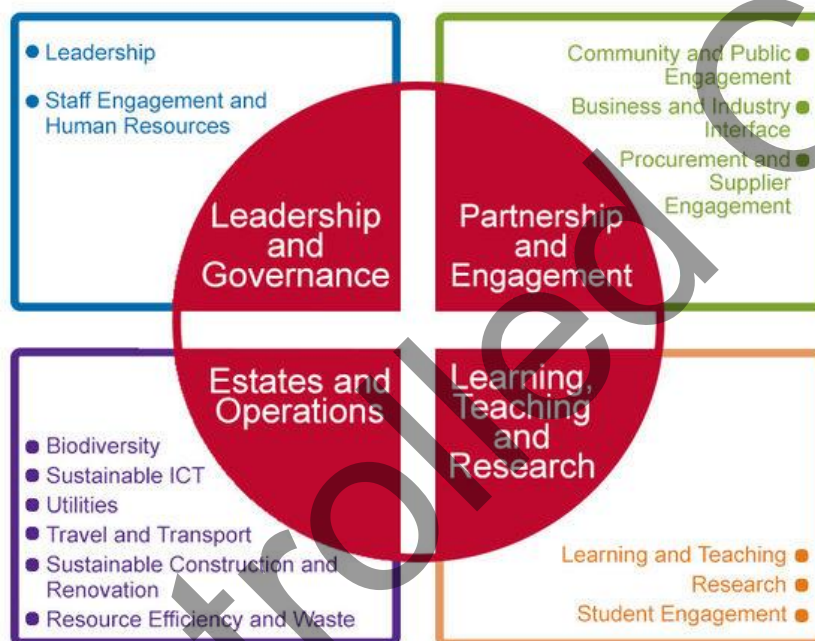
The Sustainability Committee continues to agree, develop and monitor the sustainability key performance indicators for the College. This group is now well established and will continue to meet, three times per annum, to progress the sustainability initiatives which includes waste, travel, energy, curriculum, printing, Fairtrade, health and wellbeing. The meetings and related documents are all held within SharePoint. The performance indicators, used to monitor and measure progress, have been provided within Appendix A. It is important to note that the indicators are set, monitored and progressed by each “owner” within the Sustainability Committee.

A new staff induction for Sustainability has been developed and is now available on Moodle and will be part of staff development focus week. Sustainability tools for learning for students are available on Moodle.

In addition, the Sustainability Committee has agreed to adopt the LIFE Tool (Learning in Future Environments) which is a Framework launched by the EAUC<sup>1</sup> and contains a series of self-assessment criteria designed to help focus on continual improvements. The Committee has completed the first section "Leadership" under the Framework Section for "Leadership and Governance" and will continue to assess a different section at each Committee meeting, collating actions for progression.

There are 4 sections within the framework, illustrated below:

EAUC- LIFE Tool – Learning in Future Environments – 4 Sections



#### 4. Key Considerations

The College Health and Safety Committee monitors 2 key performance indicators.

- **Accidents/ Incidents** - to maintain or reduce college accidents/incidents in line with the baseline. The Health and Safety Committee have set the KPI for 2016-2017 as 125 incidents. The 2015-2016 final figure was 110 incidents and this reflects a consistent drop in incidents year on year (since 2007). If the accident/incident figure remains around 110 at the end of 2016/2017 the KPI figure of 125 will be reviewed.
- **Absence** - 2015/16 saw a significant reduction in the absence statistics over recent years recording absence at 2.43% (3342 days absence) compared to 3.05% in 2014/15 and 2.85% in 2013/14, this represents a reduction of 0.62% or 852 days. The 2.43% absence comprises of 1715 days long terms (over 20 days) and 1627 short term (under 20 days). The 15/16 statistics is the second lowest recorded since 2009 however is regarded as the best result in recent years as this was achieved out with a climate of funding cuts and restructures.

<sup>1</sup> Environmental Association of Universities and Colleges

A proactive and early intervention approach was taken over the past year by HR and line managers to actively manage absence.

#### 4.1 Accidents / Incidents Current Data Compared with Last Year's Data

The table below illustrates the annual incident reports for 2016-2017 compared to previous figures from 2015-2016 and annual figure from 2014-2015. At the end of 2015-2016, statistics are reported as 110 – compared to 123 reported incidents in 2014-15. This indicates a reduction of 13 incidents.

##### Incidents/ Accidents

There were no RIDDOR<sup>2</sup> reportable incidents for 2015-2016.

Year	Bruise/ Abrasion	Burn/ Scald	Crush/ Injury	Cut/ Laceration	Electric Shock	Eye Injury	Fracture/ Dislocation	Other	Puncture Wound	Sprain/ Strain	Sting	RIDDOR*	Total	Medical	Horseplay	Near Miss
<b>2014- 2015</b>																
<b>Annual Total</b>	<b>263</b>	<b>10</b>	<b>6</b>	<b>40</b>	<b>0</b>	<b>2</b>	<b>4</b>	<b>8</b>	<b>3</b>	<b>24</b>	<b>0</b>	<b>0</b>	<b>123</b>	<b>104</b>	<b>0</b>	<b>12</b>
<b>2015- 2016</b>																
Aug- Oct	6	3	0	14	0	3	0	2	0	5	0	0	33	32	0	1
Nov - Jan	3	2	1	12	0	6	1	1	2	11	0	0	39	27	0	2
Feb - April	6	1	1	8	0	1	0	2	0	8	0	0	27	25	0	3
May - July	3	0	0	6	0	0	0	1	0	1	0	0	11	7	0	2
<b>Annual Total</b>	<b>18</b>	<b>6</b>	<b>2</b>	<b>40</b>	<b>0</b>	<b>10</b>	<b>1</b>	<b>6</b>	<b>2</b>	<b>25</b>	<b>0</b>	<b>0</b>	<b>110</b>	<b>91</b>	<b>0</b>	<b>8</b>
<b>2016- 2017</b>																
Aug- Oct	7	5	0	13	0	1	1	1	0	5	0	0	33	37	0	3
Nov - Jan																
Feb - April																
May - July																
<b>Annual Total</b>																

<sup>2</sup> Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013

The medical column relates to incidents that First Aiders have attended but it is not a direct result of college operations.

The number of incidents within the “sprain” and “cuts/laceration” category continues to be a focus for the college. These mainly result from the sports activities and construction/hospitality activities respectively. Trend analysis is completed within the Health and Safety Operational Team meetings to illustrate what further actions can be taken to mitigate future incidents. This is in addition to the immediate reactive measures taken for each incident reported.

#### 4.2.1 Absence

Absence statistics are reported to the HS Committee as one of the key performance indicators. The quarter four figures for 15/16 confirmed an annual absence rate of 2.43%. This equates to 3342 lost days out of 137,486 working days available.

The top three categories showing the highest results are “Operation / Post operation” (11%), “Benign and Malignant tumours and cancers” (12%) and finally “Stress/depression/Mental Health” (16%). The Stress/depression/Mental Health category which recorded the highest reason for absence is not to be confused with Work Related Stress which has a separate category which recorded 5% absence.

Overall absence is well controlled with support mechanisms in place and referral services available. Long term absence cases are managed and appropriate support measure put in place.

It is important to note that the management of absence is covered by National Bargaining and the NJNC (National Joint Negotiating Committee). Until such time as a new sector wide policy is introduced the College will continue to manage absence under our existing FVC Absence Management policy.

#### 4.3 Health and Safety Progress is measured and monitored through the Estates Operational Plan.

The Operational Plan covers the outcomes and objectives for health and safety, facilities and sustainability and feeds into the college wider operational objectives.

The following points are key elements of the operational plan and of the health and safety statutory requirements.

- **Health Surveillance**

The Health and Safety Co-ordinator continues to oversee the statutory requirements for the health surveillance of employees, to identify, assess and monitor employees who are exposed to risks at work, which may affect their health, this also enables the college to ensure the control measures for the protection of individuals are efficient and effective. Health Surveillance is carried out at college by health professionals and this provision ensures that the college remains compliant, whilst also supporting the health and wellbeing agenda.

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Appointments are held regularly in accordance with the health risk register and categorised. (Audio, Skin, Respiratory, HAVS<sup>3</sup>)

Health Surveillance is scheduled for November/December 2016 with 85 appointments arranged.

Reasonable adjustments are made, in conjunction with the relevant teaching department, for any individual who has a negative outcome from their health appointment and regular follow up appointments are carried out to review the situation to a positive outcome.

Whilst there has been positive outcomes in the past these have been progressed to a successful resolution.

Information, Instruction and Training is a mandatory element of all Health and Safety Legislation.

**This is a summary of Health and Safety Training carried out this session;**

- The majority of fire warden refresher training was carried out in session 2015-2016, and additional fire wardens were trained this session.
- Fire evacuation drills have been carried out on each campus at the start of this session (October 2016) with no issues being reported and will be repeated in April/May 2017.
- Personal Emergency Evacuation Plans (PEEP) reports continue to be completed weekly to communicate PEEP requests to departments. This enables the College to support students who require assistance to evacuate in an emergency. Completed PEEPs -18.
- PPE<sup>4</sup> checks have been carried out on all campuses and reported full compliance.
- Ladder Safety Training to be carried out in December 2016.
- General Housekeeping inspections were carried out at all campuses and this included checking the individual desks within workrooms to ensure they comply with the Display Screen Equipment Regulations. Compliance issues were few, but mainly housekeeping issues and these have been passed to the Heads of Departments for action. All actions are recorded and tracked until completion.
- Noise monitoring scheduled to be carried out in the Alloa Campus Joinery/Plumbing workshop in November 2016. This is to identify the levels of noise to the member of staff working in this area and to allow time limits for working on each machine to be measured.
- Safe Systems of Work has also been planned in the form of video clips for the Hospitality Department at Stirling. This will assist with student inductions and learning processes. Filming is now underway with a number of items being filmed and ties in with the focus to reduce cuts/lacerations.
- Work Positive Refresher Training scheduled for the 8<sup>th</sup> November with 7 members of staff attending this training.

#### 4.4 Audits

The College Health and Safety Department have no audits scheduled for 2016-2017.

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<sup>3</sup> Hand Arm Vibration Syndrome

<sup>4</sup> Personal Protective Equipment

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#### **4.5 HS Competent Persons**

The college continues to maintain a “health and safety competent persons list” for all key health and safety roles within departments. These continue to be reviewed to ensure that requirements and provision are current and sustained across all campuses.

The College recognises the importance of providing information, instruction and training to staff. To support this, the college plans to combine the mandatory health and safety training requirements into the Performance, Review and Development (PRD) system. This will provide a digital training “diary” for the individual and also create the health and safety profile for their role and include a mixture of on-line and face to face courses. This process is being driven by Information Systems and HR, and progresses from the launch of the new process being the first stage of this new on-line system. The new Employee Record, within SharePoint, now has a section that shows all staff CPD that has been recorded into Unit-e via a SDAF (Staff Development Approval Form) or via a bulk upload following a college staff development week. Staff see the data in several ways. They can see the Continuous Professional Development (CPD) they have achieved for the last 12 months; in addition they can use the CPD History button to see all their CPD recorded.

HR and the IS development team have now separated CPD into 3 distinct areas, mandatory training (depending on the member of staff’s role within the organisation), role specific training and professional practice which allows ad-hoc training to be recorded in line with General Teaching Council Scotland (GTCS) guidance. The College has now developed “unit-e” to record this data and is currently testing with dummy information.

We are able to extract and report on Moodle activity and have this reflected into Unit-e. The next stage is to have this happening automatically and have it linked to an individual’s training requirement. Information systems are continuing to develop this project in line with the college objectives.

#### **4.6 Health and Safety Culture**

The College continues to build on the positive health and safety culture established over the past few years. The Estates Operational Plan is a key document in the co-ordination of outcomes and objectives. In addition, the Risk Registers for Health and Safety and for Estates and Health and Safety are regularly reviewed, at the Health and Safety Committee, to progress measures for monitoring and controlling risk.

#### **5. Financial Implications**

**No additional financial considerations.**

#### **6. Equalities**

**Assessment in Place? – Yes  No**

This paper includes reporting of the health, safety and welfare of all staff, students and visitors and does not require a separate impact assessment.

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**7. Risk**

Please indicate on the matrix below the risk score. Risk is scored against Impact and Likelihood as Very Low through to Very High.

	Likelihood	Impact
Very High		
High		x
Medium		
Low		
Very Low	x	

Risk Description – The overall College risk remains low due to the support of all staff and the sound safety management operated in compliance with the established health and safety procedures.

Mitigating Actions – To strive for continual improvement of the health and safety culture.

**Risk Owner** – Claire Shiels  
Head of FM and HS

**Action Owner** – Tom Gorman, Associate Principal,  
Director of Estates Development

**8. Other Implications –**

**Communications** – Yes  No  **Health and Safety** – Yes  No   
H&S implications are detailed within this paper.

**Paper Author** – Fiona Duff

**SMT Owner** – Tom Gorman

1. Purpose

To provide members with an overview of the complaints received by the Executive Office in academic year 2015/16.

2. Recommendation

That members note the content of the report.

3. Background

The College is required to manage complaints in line with the SPSO (Scottish Public Sector Ombudsman) model complaints handling process. Part of this is monitoring complaints received.

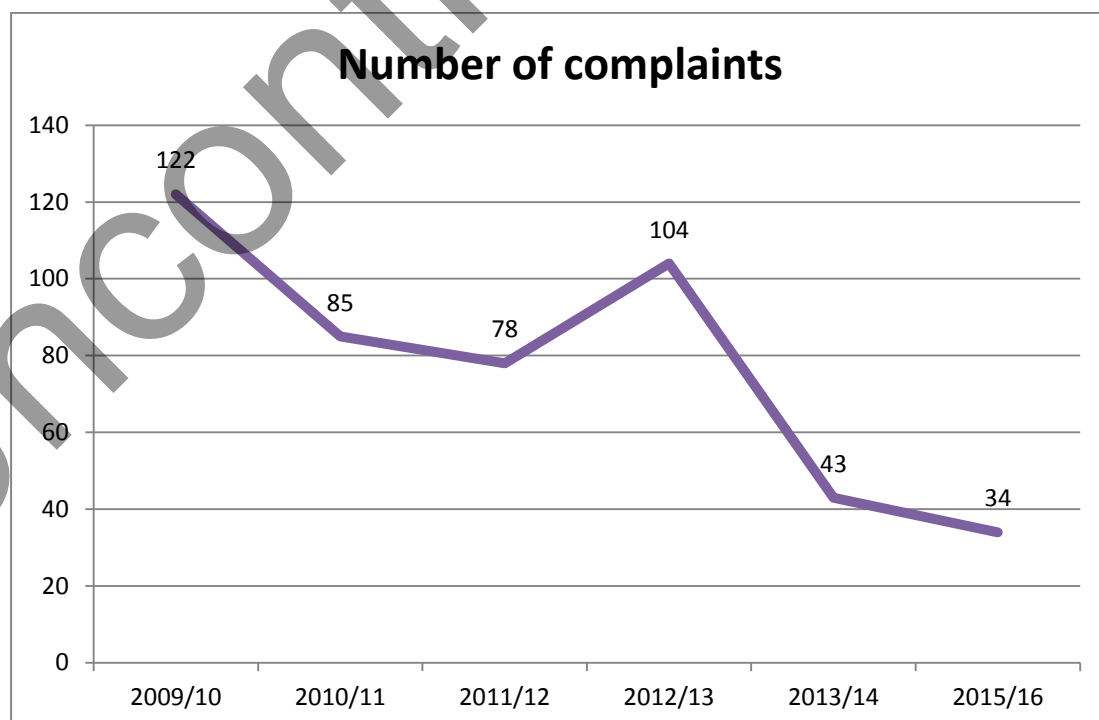
Complaint handling within the College is coordinated by the Corporate Governance and Planning Officer and managed by the Principal.

The College utilises complaints information to provide an annual update to SMT members.

4. 2015/16 Complaints

The College monitors complaints which are submitted to the Principal/SMT. (Please note that this does not include the complaints in relation to parking at Stirling which are managed and monitored by Facilities and as such do not form part of this report.)

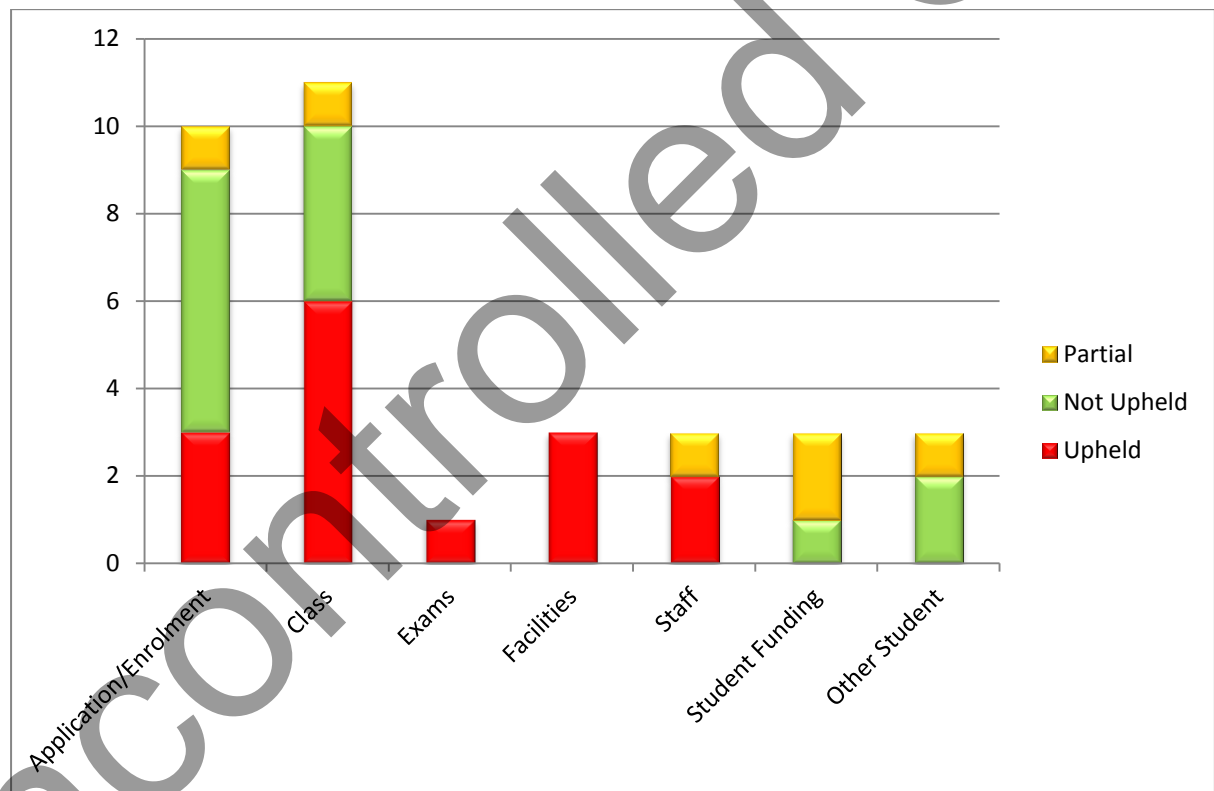
The College has continued to experience falling complaints numbers as outlined below.



The continued reduction in complaints would seem to indicate that improvements in systems combined with ensuring that any lessons learned from complaints are implemented continues to have a positive effect on complaints numbers.

However, with the reduction in the number of complaints, it has been harder to identify trends within the complaints. Despite the lack of identifiable trends, the Executive Office does feedback to Departments on the outcome of complaints and to embed any corrective actions which does help to prevent reoccurrences.

While the numbers of complaints continues to reduce, a further key piece of information is to consider whether, in the opinion of the College, the complaints have been upheld, not upheld or whether the complaint can be partially substantiated. A summary is as follows, broken down by the area of complaint.



The College views the number of upheld complaints as a positive. They demonstrate that –

- a) Students are highlighting real issues; and
- b) This gives the College the awareness and opportunity to address these issues

A summary of those complaints is outlined below for those complaints classified as either Upheld or Partial (for the elements upheld) is attached as Appendix 1.

5. Financial Implications

Please detail the financial implications of this item – None

6. Equalities

Assessment in Place? – Yes  No

If No, please explain why – Complaints which have an equalities component will be notified to the Equalities Team as and when they arise.

Please summarise any positive/negative impacts (noting mitigating actions) – Not applicable

7. Risk

Please indicate on the matrix below the risk score. Risk is scored against Impact and Likelihood as Very Low through to Very High.

	Likelihood	Impact
Very High		
High		X
Medium		
Low	X	
Very Low		

Please describe any risks associated with this paper and associated mitigating actions – While complaints are trending downward, losing focus on fast and effective complaints resolution would lead to poor student/stakeholder service and could result in the College being reported to the Scottish Parliament by the Ombudsman.

Risk Owner – Alison Stewart

Action Owner – Stephen Jarvie

8. Other Implications –

Please indicate whether there are implications for the areas below.

Communications – Yes  No

Health and Safety – Yes  No

Please provide a summary of these implications – Not Applicable

Paper Author – Stephen Jarvie

SMT Owner – Alison Stewart

Appendix 1

Type	Complaint	Investigation Outcome	Action Taken	Lessons Learned
Application/ Enrolment	Offered unconditional HND place but at induction informed no place available	Investigation showed unconditional place offered in error as student did not have experience to join at HND level	Principal apologised. Lower level course identified and place made available to student which will provide knowledge to proceed to HND	Curriculum Manager to conduct checks of offers before they are issued
Application/ Enrolment	Student had not received reply to email enquiries to College	Investigation was unable to find the email or who it may have been passed to	Principal apologised. Department query sent to instructed to make direct contact	None
Application/ Enrolment	Complaint that employed students are applying for evening class welding course and taking available spaces. Also complained that the College did not inform him of when application process for next year had opened	Evening classes are open to all and not restricted. The Department identified that the process for notifying existing students was weak	Element re evening class applicants not upheld. Department instructed to improve communications with students	Importance of highlighting progression opportunities to students in time
Application/ Enrolment	Mother complained that, while one of her sons had applied, the invitation to interview was addressed to her other son. Also complained that her son was not allowed to progress following interview	It turned out that both sons used the same email address and staff had not picked up on this. In reference to progression, student had not completed core units on current course	Principal apologised for mix up in terms of son's names. Principal upheld decision not to progress student	Sense check on outgoing correspondence needed to ensure errors in data do not carry into correspondence

## Complaints Overview 2015/16 For Discussion

22 November 2016  
HR (INC. NOMINATION) COMMITTEE

Type	Complaint	Investigation Outcome	Action Taken	Lessons Learned
Class	Evening class good but too many students. Also day students are staying behind to talk to lecturer which means less time to spend individually with evening students on their project work	Investigation found that the claims made by student were accurate re demands on lecturer time leading to poor learning experience	Principal apologised and offered full refund of course fees	Department to use this feedback when performing curriculum planning
Class	Complaint re evening class. Pleased with lecturer from a teaching delivery perspective but unhappy with their induction, timetabling issues, delays in feedback with submitted work. Also delays with certification.	Investigation found out that the concerns raised were valid. Re certification, this was an external provider and the department involved had been trying for some time to progress them to certification	Principal apologised and outlined a fundamental review which was carried out by SMT members. He noted the issues the College had been experiencing re certification and offered a % refund to reflect the issues experienced	Listening to learners process should have caught these issues earlier
Class	Complaint re length of time appointment took and that staff were diverted to deal with other customer first making complainant late for external appointment	Investigation found that the time for the appointment was not unusual and the drop in had been mixed up re date. It noted better communication from both sides would have been beneficial	Principal apologised and addressed each point of the complaint. As offer of goodwill offered free future appointment	Beneficial to check with externals re timings
Class	Mother of student complained that her daughter had been bullied	Investigation found that the student had been in arguments with students from another department. Was handled in line with student discipline processes and the situation was resolved	College contacted the complainant to outline the actions taken. Complainant indicated that they were happy with the response	None

## Complaints Overview 2015/16 For Discussion

22 November 2016  
HR (INC. NOMINATION) COMMITTEE

Type	Complaint	Investigation Outcome	Action Taken	Lessons Learned
Class	Complaint re evening class – classes finishing early, lack of equipment	Investigation found the complaint was correct	Principal apologised. Corrective actions taken with staff re timings and complainant offered to choose between full refund or free course at next offering	Need to ensure evening classes are running to time and quality of learning on offer
Class	Second complainant re above evening course	As above	As above	As above
Class	Complaint on behalf of class re having to return to College to re-sit an element of the course	This matter had been identified by the Department. Lecturer had not taught all elements of a particular unit and students needed to re-sit the unit to achieve their HN	HOD and CM met with class to apologise and outline actions taken. Principal wrote to complainant to apologise for the issue, to confirm that corrective action had been taken and that other action would be taken to prevent a future occurrence of the error	Need for College to identify any issues during time students are at College
Exams	Complaint re College offering certification it was not accredited to offer	Investigation found that, while the training provided was correct and to standard, the correct registration had not happened. College reported issue to SQA	SQA investigation conducted. Outcome was that the student would need to re-sit an element to receive SQA certification. This was communicated to student who was able to successfully re-sit course. Principal apologised to student and arranged a full refund of course fees	Need to ensure that all appropriate registrations etc with awarding bodies are up to date



## Complaints Overview 2015/16 For Discussion

22 November 2016  
HR (INC. NOMINATION) COMMITTEE

Type	Complaint	Investigation Outcome	Action Taken	Lessons Learned
Facilities	Complaint re the noise levels in Alloa LRC and students using the LRC facilities for lunch etc	Investigation confirmed there had been examples of disruptive behaviour	Principal apologised. Noted that LRC staff had been asked to be more active in monitoring LRC users and highlighted the availability of quite study rooms which could be booked	Staff to manage area more proactively.
Facilities	Complaint that the east lift in Falkirk being out of commission had meant student could not access classes	Investigation found the lift was out of commission for a period of time waiting on parts to fix it. Department had been able to relocate some but not all classes to ground floor	Principal apologised and confirmed that repairs had now been completed. He noted that he had requested the Department to have plans in place should there be a future occurrence	Moving rooms had been a challenge. Need to prioritise where accessibility issues are a factor.
Facilities	Concerns from student re possible cross contamination from use of utensils in canteens	Investigation found no risk of cross contamination but also noted that it would be possible for users of the facility to make the wrong assumption	Introduction of colour coded utensils to easily show no cross contamination	While there was no issue, perceptions of service users should be taken into account
Staff	Complained that student had asked lecturer to pass on information to another lecturer who was not in College and, when this did not happen, student was negatively impacted	Investigation found that the complaint was accurate and there had been a delay in conveying information between staff	Principal apologised to complainant. CM met with complainant to discuss the matter directly	The need to pass on class related information was reinforced to relevant staff

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## Complaints Overview 2015/16 For Discussion

22 November 2016  
HR (INC. NOMINATION) COMMITTEE

Type	Complaint	Investigation Outcome	Action Taken	Lessons Learned
Staff	Student complained of harassment and inappropriate comments made by lecturer	Investigation found that there appeared to be substance to the complaint. Information was forwarded to HR to be taken forward under Staff Disciplinary process	Principal responded to complainant to make them aware that this was being dealt with under HR processes and that further communication would occur in due course. Complaint aspect closed off	None from complaint handling perspective
Staff	Former student complained re lecturers behaviour in class	Investigation found that the majority of the comments could not be verified. Staff member involved did concede that some comments the complainant listed as misleading could be taken out of context to be so.	Principal confirmed to complainant that their comments had been taken on board by the Department and discussed directly with the staff member involved	None
Student Funding	Complained that holiday period and child's illness had impacted on ability to provide required evidence to Student Funding leading to loss of funding. Request for evidence via email occurred just before xmas break	Investigation found that student funding had been unable to release funds as evidence was outstanding. At the time of the complaint, the evidence was provided	Principal confirmed that, now required evidence had been received, funding would be released. He also noted that, owing to circumstance of complainant, the College would be making a same day payment	Funding staff could attempt to contact students by phone to ensure they have the opportunity to submit evidence and receive funding prior to holidays
Student Funding	Complaint received that the information around student funding/SAAS was confusing and led to rent arrears	The Student Funding team had been in regular contact with complainant but it did appear that they had some problems understanding the funding landscape despite email and phone advice	Team agreed to meet directly with complainant to talk them through all the funding options and were able to release portion of funds currently being withheld	Given the number of times the staff wrote/called to discuss, it would have been good practice to meet face to face with student

## Complaints Overview 2015/16 For Discussion

22 November 2016  
HR (INC. NOMINATION) COMMITTEE

Type	Complaint	Investigation Outcome	Action Taken	Lessons Learned
Other Student	Student complained as they had been suspended from the College for disciplinary issues and also complained re lecturer feedback in class	The disciplinary aspects are covered under the Learner Disciplinary process which resulted in the complainant receiving a warning on record. In relation to lecturer feedback it was noted that this could be slow	The Principal confirmed that classroom management and responding to students had been reiterated within the Department	Need for effective and timely feedback to students.

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**1. Purpose**

To update members on the current staffing establishment.

**2. Recommendation**

That member's note the changes to the current status of the Staffing establishment.

**3. Background**

The staffing establishment is the capacity and distribution of resource throughout the College. The staffing establishment is monitored on an on-going basis however monthly reports are produced to review the organisation's overall resource. By monitoring the staffing establishment we can ensure that the College resources are cost effective and efficient in their deployment.

The staffing establishment can change on a daily basis taking into account various strategies, recruitment, secondments, all categories of leavers, such as retirements or resignations as well as a variation in FTE as a result of a flexible working request or a contractual increase/decrease in hours.

All advertised posts are approved through the Recruitment Approval Process, commonly known as RAF (Recruitment Approval Form). This process consists of a detailed electronic recruitment approval form that has the functionality to be tracked at each stage in the approval sequence. The RAF provides details of the post, such as FTE, salary, location, the reason and justification for the post, impact on the department and any special requirements.

There is a 4 stage approval process, commencing with the HoD (Head of Department) or HoS (Head of Service) who initiates the RAF, it is then automatically submitted to their line manager (SMT Member) for approval, then the Associate Principal - HR and Operational Effectiveness and finally the Associate Principal - Finance. Any member of SMT can decline or challenge any aspect of the RAF. The RAF process is a comprehensive development to ensure that resources are well managed, fully approved and authorised. In addition to the RAF process the Amendment to Contract Form (ACF) was implemented to review and amend existing employees' contractual details and works in the same way as the RAF process.

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#### 4. Key Considerations – Teaching Departments

The College resources are distributed as follows:  
FTE = Full Time Equivalent, HC = Head Count

Teach Dept.	14/15 Qtr. 4 FTE	14/15 Qtr. 4 HC	15/16 Qtr.1 FTE	15/16 Qtr.1 HC	15/16 Qtr. 2 FTE	15/16 Qtr. 2 HC	15/16 Qtr. 3 FTE	15/16 Qtr. 3 HC	15/16 Qtr. 4 FTE	FTE Var	15/16 Qtr. 4 HC	HC Var
A&P	20.88	28	20.53	29	19.89	30	21.39	30	21.33	-0.06	29	-1
ASMME	45.16	52	44.36	54	45.34	53	45.34	53	41.64	-3.70	47	-6
BS	24.02	28	24.92	28	24.32	27	25.82	28	24.02	-1.80	27	-1
CI	44.60	57	45.96	59	45.51	57	47.49	61	42.97	-4.52	52	-9
CON	40.96	45	42.08	48	42.29	48	42.29	48	41.40	-0.89	44	-4
CR	34.10	40	34.36	43	37.58	45	37.35	44	34.60	-2.75	39	-5
EICE	51.16	58	51.16	58	50.45	56	50.45	55	49.05	-1.40	53	-2
HSS	62.66	72	57.67	67	57.90	69	58.90	70	54.90	-4.00	66	-4
<b>Total</b>	<b>323.54</b>	<b>380</b>	<b>321.04</b>	<b>386</b>	<b>323.28</b>	<b>385</b>	<b>329.03</b>	<b>389</b>	<b>309.91</b>	<b>-19.12</b>	<b>357</b>	<b>-32</b>
<b>Increase % against 14/15 total</b>			<b>-0.77 %</b>	<b>+1.58 %</b>	<b>-0.08 %</b>	<b>+1.32 %</b>	<b>+1.69 %</b>	<b>+2.36 %</b>	<b>-4.21 %</b>	<b>-6.05 %</b>		

Quarter 4 of 2015/16 recorded a decrease in academic Headcount (HC) and Full Time Equivalent (FTE) against 2014/15, this is a recurring annual trend at the end of an academic year and demonstrates positive management of the flexible resource within the College. The headcount has decreased by -8.22% (32 HC) and FTE has decreased by -5.81% (19.12 FTE) against Qtr. 3 of 15/16.

All 8 academic departments experience a reduction in HC and FTE. The Creative Industries department is of particular note as their HC reduced by 9 and their FTE by 4.52. This is due to the department operating with a large proportion of variable FTE fixed term contracts. The benefit to the department is that it generally provides more options in managing the resources and covering absence and class cover. The least amount of change was identified in the Department of Access & Progression, which saw a reduction of 1 HC and only 0.06 FTE. Not all changes are highlighted within this report due to the volume and limited impact they have.

The Qtr.3 figures of 14/15 recorded 412 HC and 334.19 FTE, this was the highest recorded academic HC and FTE figures over the past 2 years, a significant variance of 55 HC and 24.28 FTE against the end of 15/16 academic year.

End of Academic Year Teaching Depts.	FTE	Headcount
12/13	289.42	344
13/14	300.91	366
14/15	323.54	380
15/16	309.91	357

Support Departments

Support Dept.	14/15 Qtr. 4 FTE	14/15 Qtr. 4 HC	15/16 Qtr. 1 FTE	15/16 Qtr. 1 HC	15/16 Qtr. 2 FTE	15/16 Qtr. 2 HC	15/16 Qtr. 3 FTE	15/16 Qtr. 3 HC	15/16 Qtr. 4 FTE	FTE Var	15/16 Qtr. 4 HC	HC Var
ASS	60.32	75	35.98	45	36.83	45	35.88	44	38.48	+2.60	47	+3
BD	48.53	58	48.30	57	50.30	59	48.80	58	47.70	-1.10	55	-3
IT & IS	33.74	36	34.66	37	33.66	36	34.66	36	34.31	-1.00	35	-1
EO	5.00	5	5.00	5	5.00	5	5.00	5	5.00	0.00	5	0
MK	10.00	10	10.00	10	10.00	10	11.00	11	11.00	0.00	11	0
FS	12.80	13	12.80	13	10.80	11	10.80	11	11.80	+1.00	12	+1
ED	19.29	23	20.27	24	20.27	22	19.99	22	20.53	+0.54	23	+1
HR	8.00	8	8.00	8	8.00	8	7.80	8	7.00	-0.80	7	-1
CQ & CS	8.00	8	31.67	37	31.40	36	31.13	36	30.70	-1.38	36	0
SMT	7.00	7	7.00	7	7.00	7	7.00	7	7.00	0.00	7	0
<b>Total</b>	<b>212.68</b>	<b>243</b>	<b>213.68</b>	<b>243</b>	<b>213.26</b>	<b>239</b>	<b>212.06</b>	<b>238</b>	<b>213.52</b>	<b>-0.14</b>	<b>238</b>	<b>0</b>
<b>Increase % against 14/15 total</b>			<b>+0.47 %</b>	<b>0.00 %</b>	<b>-0.20 %</b>	<b>-1.65 %</b>	<b>-0.29 %</b>	<b>-2.05 %</b>	<b>+0.39 %</b>		<b>-2.05 %</b>	

Overall position

Teach Dept.	323.54	380	321.04	386	323.28	385	329.03	389	309.91	-19.12	357	-32
Supp Dept.	212.68	243	213.68	243	213.26	239	212.06	238	213.52	+1.46	238	0
<b>G. Total</b>	<b>536.22</b>	<b>623</b>	<b>534.72</b>	<b>629</b>	<b>536.54</b>	<b>624</b>	<b>541.09</b>	<b>627</b>	<b>523.43</b>	<b>-17.66</b>	<b>595</b>	<b>-32</b>
<b>Increase % against 14/15 total</b>			<b>-0.27 %</b>	<b>+0.96 %</b>	<b>+0.06 %</b>	<b>+0.16 %</b>	<b>+0.90 %</b>	<b>+0.64 %</b>	<b>-2.38 %</b>		<b>-4.49 %</b>	

Overall the support staff Headcount (HC) decreased during Qtr.4 by -2.05% (5 HC) and increased by 0.39% FTE (0.84 FTE) against the final position in 2014/15.

In general there has been limited change in the overall deployment of resource for Support staff, notable changes include, an increase in headcount within Access and Student Service to cover maternity leave and an internal secondment and a backfill from a reduction in hours. Business Development experienced a short reduction in staff towards the end of the year due to resignations and retirements within the department prior to recruiting new staff to backfill Assessor posts.

Both Finance and Estates recruited new roles, a new Head of Finance was appointed in May 2016 and Estates appointed a new Facilities Coordinator on a fixed term contract to help support the focus on the new Falkirk Campus Project. HR recorded an overall reduction in 0.8 FTE and 1

HC with the resignation of an HR Business Partner who had taken a career break. Not all changes are highlighted within this report due to the volume and limited impact they have.

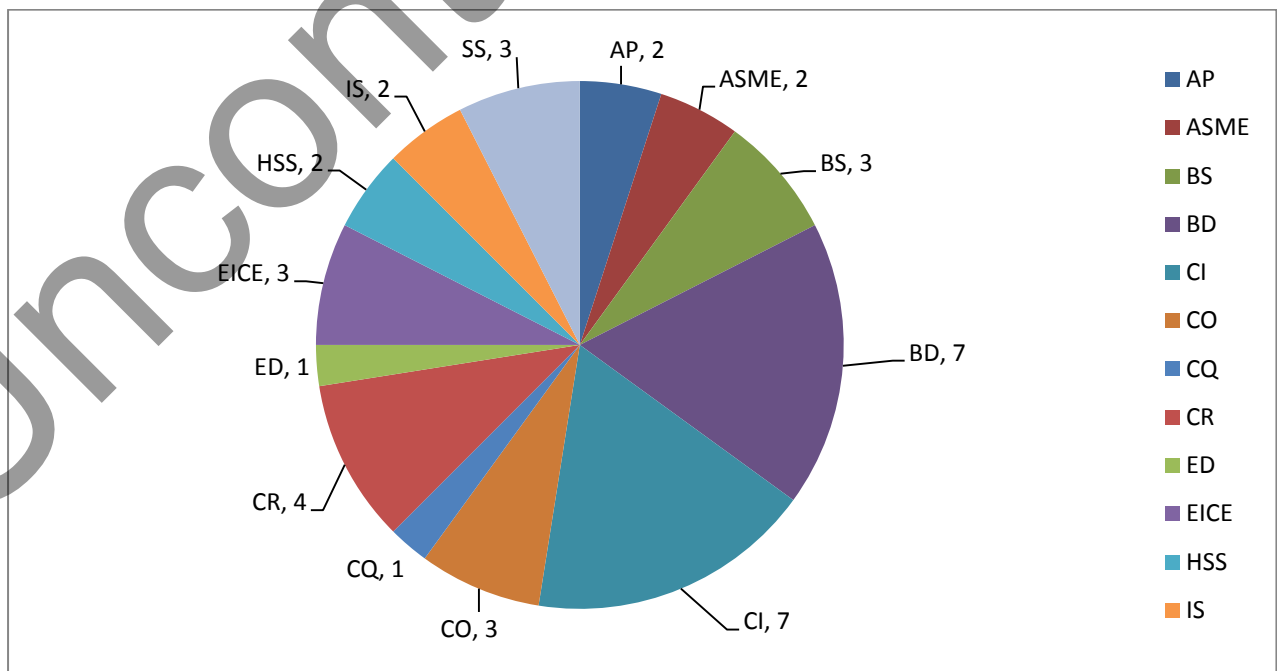
End of Academic Year Support Depts.	FTE	Headcount
12/13	193.27	215
13/14	202.37	229
14/15	212.68	243
15/16	213.52	238

**Advertised Recruitment – Qtr. 4 (May - July 16)**

The overall number of vacancies advertised per quarter is listed below:

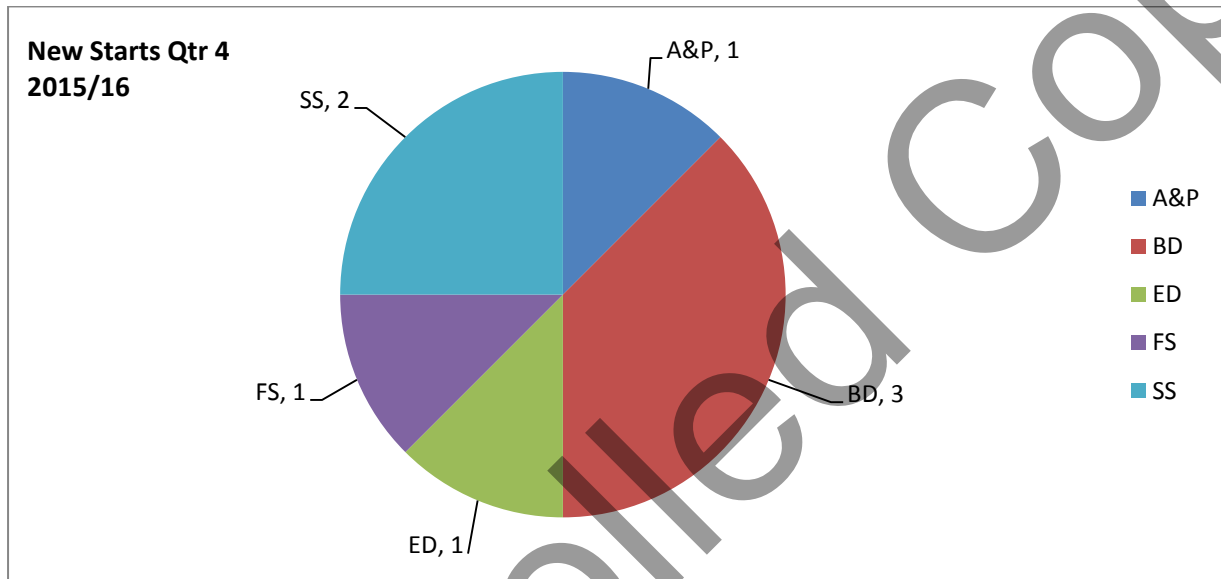
14/15	Qtr.1 = 19	15/16	Qtr.1 = 29 (Aug & Sept)
	Qtr.2 = 27		Qtr.2 = 25 (Oct, Nov, Dec and Jan)
	Qtr.3 = 18		Qtr.3 = 19 (Feb, Mar and April)
	Qtr.4 = 15		Qtr.4 = 41 (May, Jun and July)
14/15	Total = 79	15/16	Total = 114

41 Roles were advertised during Qtr. 4 in relation to 13 departments. 22 academic posts were advertised and 19 Support staff posts. Some of the roles advertised ranged from Lecturer and Curriculum Manager to Department Administrator, VQ Manager, Examinations Assistant, Engineering Assessor and Commercial Trainer. The vacancies can be distributed as follows:



**New Starts – Qtr. 4 (May – July 16)**

There were 8 new employees who commenced employment with the College during Qtr.4. They are currently at various stages of their inductions within their respected departments. The new roles are distributed amongst the following departments:



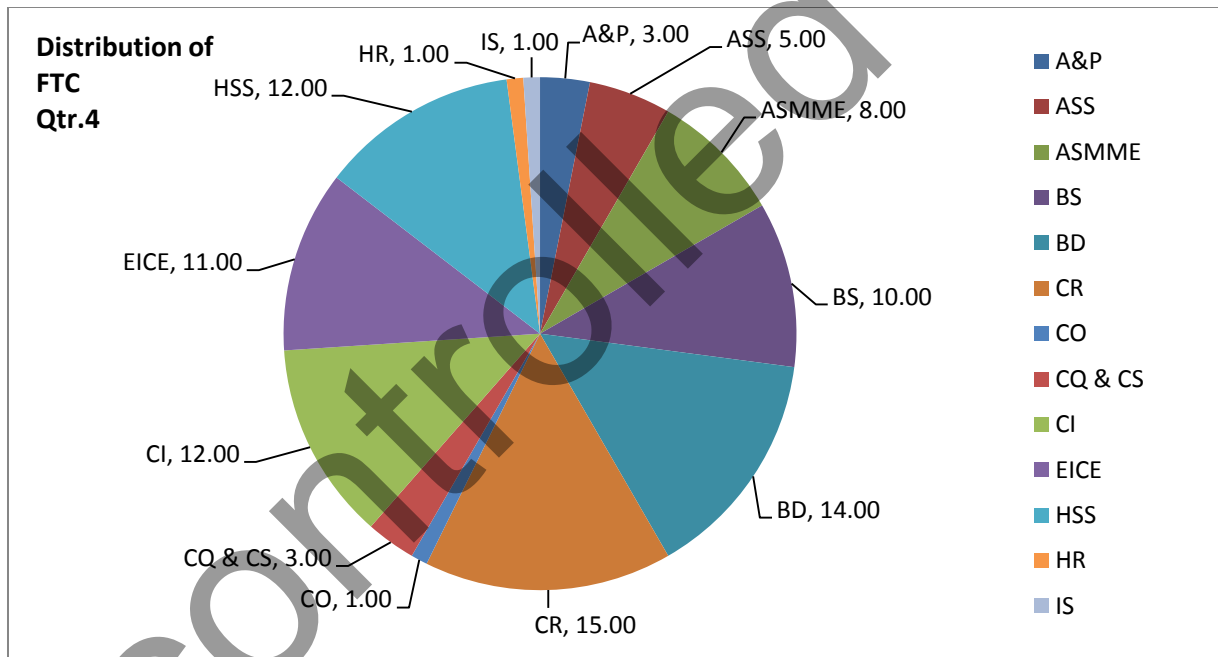
Dept.	Surname	Preferred name	Date Started in College	Job Title	FTE
			12-May-16	Lecturer	0.09
			09-May-16	Development & Fundraising Manager	1.00
			25-Jul-16	Assessor - Work Based (Engineering)	1.00
			18-Jul-16	Assessor - Work Based (Engineering)	1.00
			04-May-16	Cleaner	0.54
			09-May-16	Head of Finance	1.00
			26-Jul-16	Administration Assistant	0.50
			11-Jul-16	Learner Advisor	1.00

**Fixed Term Contracts - Qtr. 4 (May – July 16)**

During Qtr.4 the College had 96 fixed term contracts (FTC) / temporary staff including casual staff such as Artist Models and Gym Assistants. The FTCs have varying end dates throughout Qtr.4 and well into 2016/17 and beyond.

The FTC can be split into 61 (63.54%) allocated to academic departments and 35 (36.45%) allocated to support departments. Collectively the 96 FTC's equate to 50.98 FTE. An increase in FTC is a positive step towards improved management of resources and provides the College with a degree of flexibility in terms of cost and resource.

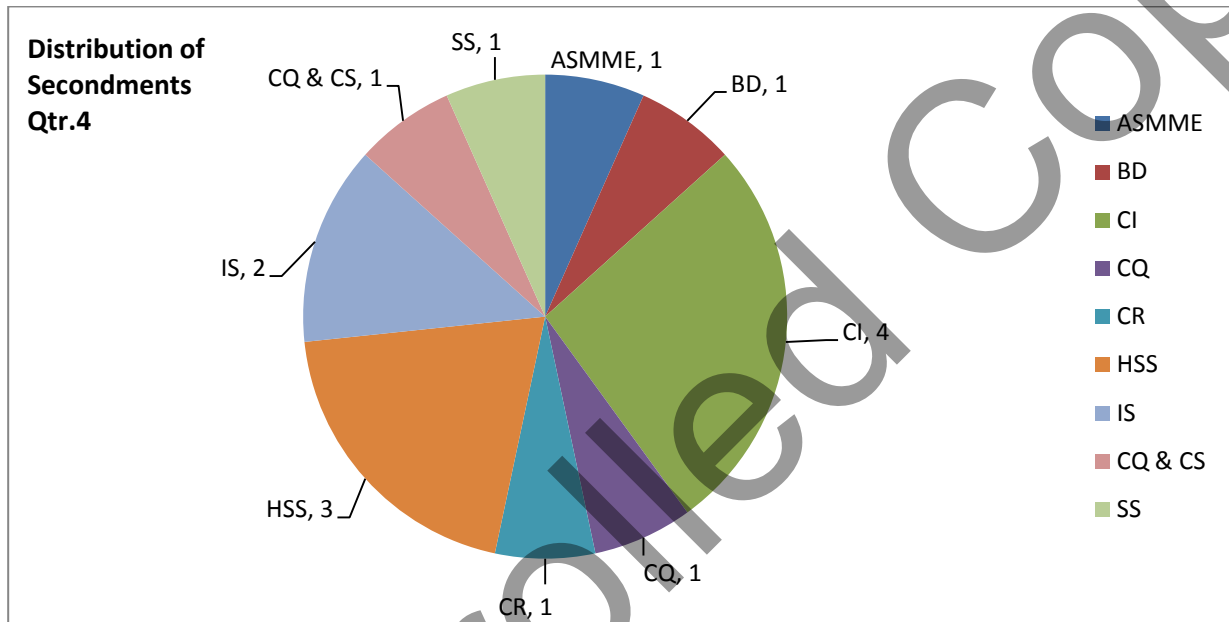
68 FTC (30.63 FTE) are due to end by the 31 July 2016. The remaining 28 (20.35 FTE) FTCs continue into 2016/17 and beyond. All FTC are linked to commercial contracts, adoption and maternity leave, secondments (internal and external) and long term absence.





Secondments - Qtr. 4 (May – July 16)

The College had 19 employees who were on secondment across the College during Qtr. 4. The seconded posts present opportunities for internal staff to gain additional skills, provide career advancement opportunities, and contribute to the College's succession planning. In some cases they are also used to cover periods of long-term absence cover.



Dept.	Name	Job Title	Reason
[Redacted]	[Redacted]	Foundation & Advanced Engineering Apprenticeship Development Co-ordinator	Linked to SDS Funding
[Redacted]	[Redacted]	Depute Development Manager - Work Based Learning	To cover absence of then post holder [Redacted]
[Redacted]	[Redacted]	Lecturer	To cover for absence of post holder [Redacted]
[Redacted]	[Redacted]	Curriculum Manager	To cover Adoption Leave of [Redacted]
[Redacted]	[Redacted]	Technician	To cover secondment of Post holder
[Redacted]	[Redacted]	Lecturer	Backfill for Post holder's Secondment to CM
[Redacted]	[Redacted]	Development Support Officer	to support the additional early adopter school-college partnership activity extension to FTC from 26/06/15 to 30/06/17
[Redacted]	[Redacted]	Curriculum Manager	To cover secondment of post holder to interim Head of Department
[Redacted]	[Redacted]	Acting Head of Department	To cover for absence of post holder [Redacted]
[Redacted]	[Redacted]	Front of House Supervisor	To cover maternity leave of post holder
[Redacted]	[Redacted]	Acting Head of Department	To cover absence of post holder [Redacted]

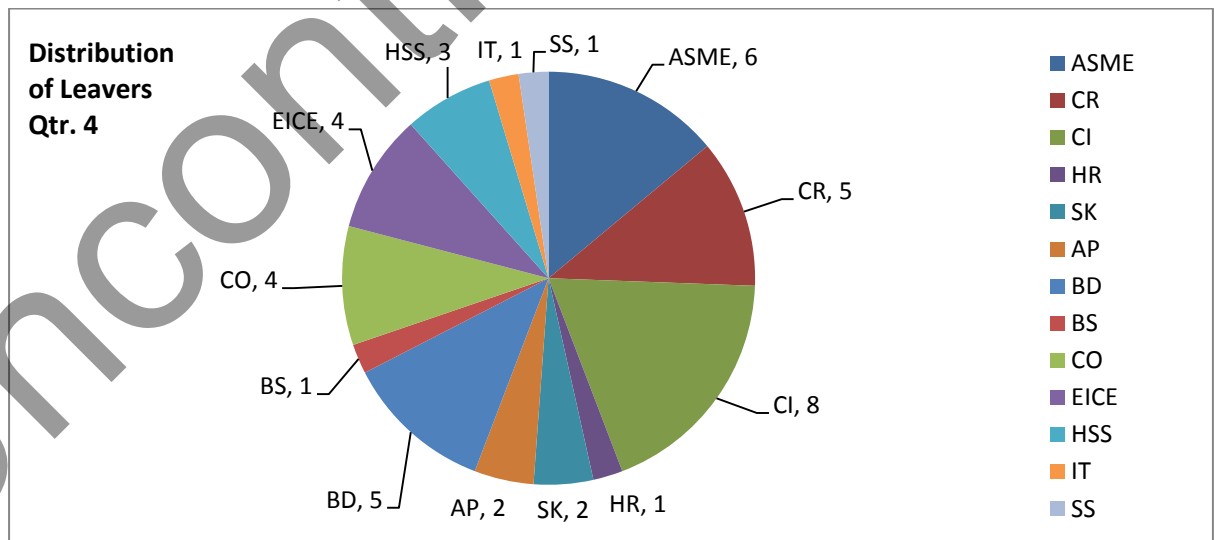
█	█	Operations Manager	To cover absence
█	█	Student Records Business Partner	To cover maternity leave of post holder █
█	█	Project Support Officer	Linked to EPOS Beep Project
█	█	Employee Engagement Officer	Linked to additional funding from SFC
█	█	Learning Development Facilitator	Maternity cover for █

**Leavers – Qtr. 4 (May – July 16)**

There have been 43 employees leave the employment of the College during Qtr.4. The reasons range from end of contract, career progression, retirement and resignation as well as death in service. Given the distribution and reasons for leaving there are no discerning trends or areas of concern.

Worthy of note was the unfortunate passing of 2 employees Paul Hoyle (Lecturer) and Marion Fagan (Dept. Administrator).

14/15	Qtr.1 = 16	15/16	Qtr.1 = 10
	Qtr.2 = 11		Qtr.2 = 12
	Qtr.3 = 8		Qtr.3 = 7
	Qtr.4 = 33		Qtr.4 = 43
14/15	Total = 68	15/16	Total = 72



5. Financial Implications

Please detail the financial implications of this item – To maintain a robust RAF and ACF recruitment approval process to ensure that roles that are recruited or amended are justified by business need and necessary. All RAFs and ACFs should be positively challenged to look at alternative arrangements to undertaking and distributing the work.

6. Equalities

Assessment in Place? – Yes  No

If No, please explain why – Not applicable

Please summarise any positive/negative impacts (noting mitigating actions) – Not applicable

7. Risk

Please indicate on the matrix below the risk score. Risk is scored against Impact and Likelihood as Very Low through to Very High.

	Likelihood	Impact
Very High		
High		
Medium		
Low	X	X
Very Low		

Please describe any risks associated with this paper and associated mitigating actions – Low in terms of likelihood given the approval and monitoring processes in place, the impact would be low given the control measures we have in place. Mitigating Actions – Monthly monitoring by HR, 4 stage approval for RAF and ACF process in place as well as the annual Curriculum Review of Celcat versus resources.

Risk Owner – Andrew Lawson

Action Owner – Steven Still

8. Other Implications –

Please indicate whether there are implications for the areas below.

Communications – Yes  No

Health and Safety – Yes  No

Please provide a summary of these implications – Not Applicable

Paper Author – Steven Still

SMT Owner – Andrew Lawson

**1. Purpose**

To update members on the current staffing establishment.

**2. Recommendation**

That member's note the changes to the current status of the Staffing establishment.

**3. Background**

The staffing establishment is the capacity and distribution of resource in manpower. The staffing establishment is monitored on an on-going basis however monthly reports are produced to review the organisations overall resource. By monitoring the staffing establishment we can ensure that the College resources are cost effective and efficient in their deployment.

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#### 4. Key Considerations – Teaching Departments

The College resources are distributed as follows:  
FTE = Full Time Equivalent, HC = Head Count

Teach Dept.	15/16 Qtr. 4 HC	15/16 Qtr. 4 FTE	16/17 Qtr.1 HC	HC Var	16/17 Qtr.1 FTE	FTE Var
A&P	29	21.33	28	-1	20.52	-0.81
ASMME	47	41.64	49	+2	42.71	+1.07
BS	27	24.02	30	+3	26.16	+2.14
CI	52	42.97	57	+5	45.36	+2.39
CON	44	41.40	46	+2	41.89	+0.49
CR	39	34.60	42	+3	35.45	+0.85
EICE	53	49.05	57	+4	51.61	+2.56
HSS	66	54.90	67	+1	57.36	+2.46
<b>Total</b>	<b>357</b>	<b>309.91</b>	<b>376</b>	<b>+19</b>	<b>321.06</b>	<b>+11.15</b>
<b>Increase % against 15/16 total</b>			<b>+5.32%</b>		<b>+3.59%</b>	

There has been an increase in academic Headcount (HC) and Full Time Equivalent (FTE) for Qtr1 2016/17 against 2015/16 Qtr4, headcount has increased by 5.32% (19 HC) and 3.59% (11.15 FTE).

A number of Fixed Term Contracts have been appointed in academic departments to flexibly manage the variances in curriculum delivery and provide some operational capacity and options when delivering the curriculum throughout the year.

2 new Lecturers in Mathematics started in Applied Science Maths and Mechanical Engineering (ASMME) during August. Department of Business started 3 new lecturers in 2 subject areas, Business Management and Information Technology. Creative Industries recruited the largest number of staff during Qtr.1 however due to a number of the posts being relatively low FTE's the overall increase was 2.39 FTE. The 3 main areas of recruitment for Creative Industries was Communication and Media, Art & Design and Computing.

Departments of Construction and Care, Health and Sport recruited low FTE posts. All 3 posts in the Department of Care, Health and Sport were appointed to cover the secondment of a Lecturer who was appointed as Curriculum Manager.

The Department of Electrical Installation and Chemical Engineering (EICE) recruited 2 Lecturers in August in Electrical Installation and Chemical, Oil and Gas, 1 of which was to replace a member of staff who retired from Electrical Installation area.

Not all changes have been detailed in this report due to the volume and limited impact that they would have.

Support Departments

Support Dept.	15/16 Qtr. 4 HC	15/16 Qtr. 4 FTE	16/17 Qtr. 1 HC	HC Var	16/17 Qtr. 1 FTE	FTE Var
ASS	47	38.48	46	-1	37.68	-0.80
BD	55	47.70	52	-3	45.40	-2.30
IT & IS	35	34.31	35	0	34.83	+0.52
EO	5	5.00	5	0	5.00	0
MK	11	11.00	11	0	11.00	0
FS	12	11.80	12	0	11.80	0
ED	23	20.53	24	+1	21.54	+1.01
HR	7	7.00	7	0	7.00	0
CQ & CS	36	30.70	43	+7	35.70	+5.00
SMT	7	7.00	7	0	7.00	0
<b>Total</b>	<b>238</b>	<b>213.52</b>	<b>242</b>	<b>+4</b>	<b>216.95</b>	<b>+3.43</b>
<b>Increase % against 15/16 total</b>			<b>+1.68%</b>		<b>+1.60%</b>	

Overall Position

Teach Dept.	357	309.91	376		321.06	
Supp Dept.	238	213.52	242		216.95	
<b>G. Total</b>	<b>595</b>	<b>523.43</b>	<b>618</b>		<b>538.01</b>	

In quarter 1 the support staff headcount (HC) has increased by 4 (1.68%) which equates to 3.43 FTE (1.60%), this remains tightly controlled and all posts are reviewed prior to approval.

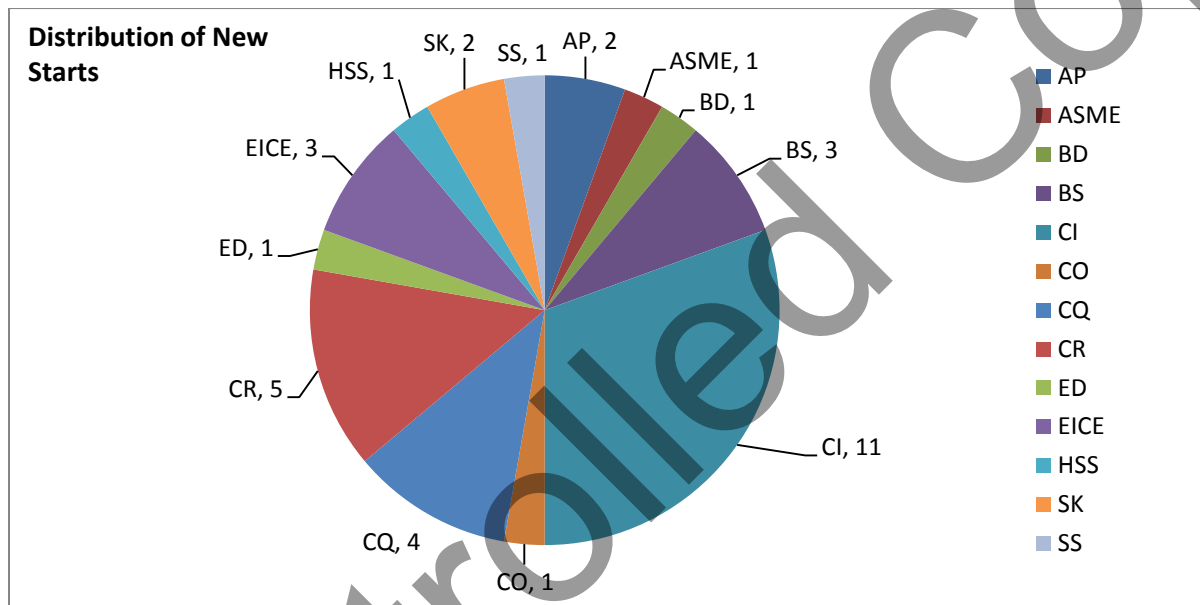
Business Development experienced 2 resignations in September from 2 Assessors, 1 Work based Engineering Assessor and 1 Work Based Care Assessor.

The noticeable difference is within the Curriculum and Quality and Core Skills (CQ & CS) Department. Qtr.1 recorded the appointment of employees linked to the Developing Young Workforce initiative which have been assigned to the CQ & CS Department for overall recording within the Colleges HR Management System. These posts are Fixed Term Contracts that are specifically linked to Government Funding.

The majority of other support departments remain the same or have minor changes in HC and FTE as a result of FTCs, a change in FTE or secondments for staff.

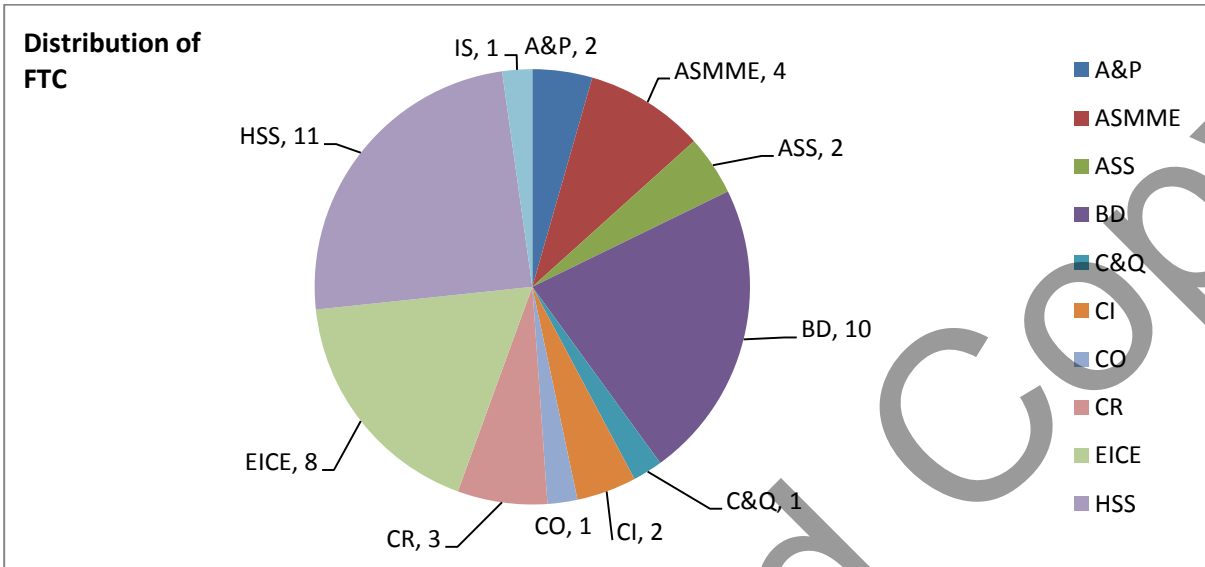
**New Starts Qtr.1 (Aug – Oct)**

There were 37 new employees who commenced employment with the College during August and October 2016. They are currently at various stages of their relevant staff induction within their departments. Employed roles range from Technician (EICE), Kitchen Supervisor (HSS), Learning Development Workers (CS) to Lecturers (A&P, ASME, CI, CO, CR & HSS). 25 employees are academic based with 12 Support based (CQ & CS, HSS, CI and BD).



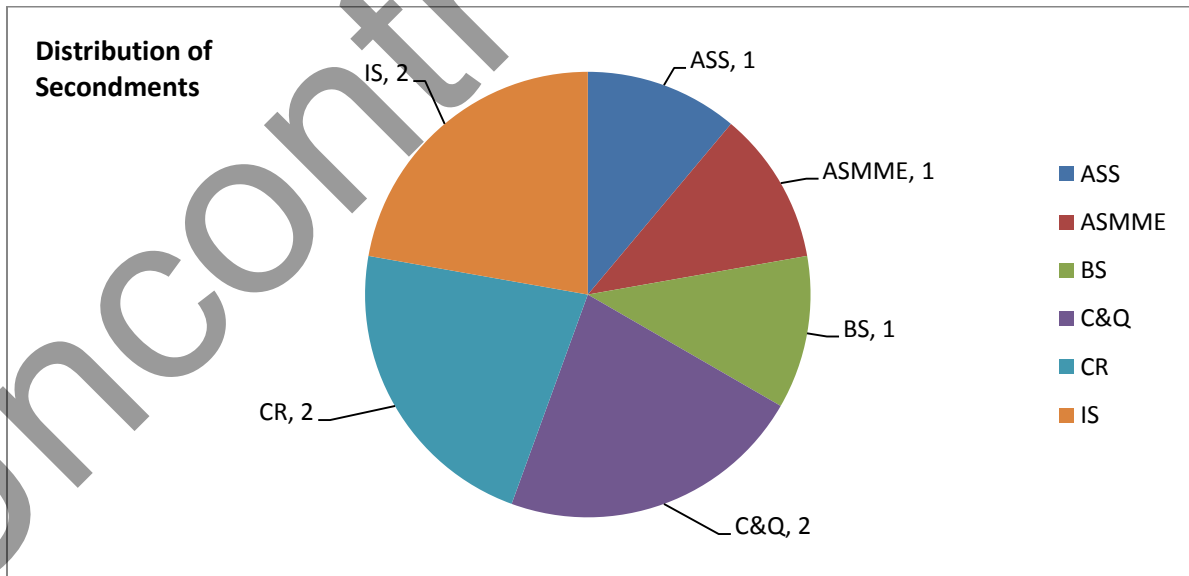
**Fixed Term Contracts Qtr.1 (Aug – Oct)**

Currently the College has 45 fixed term contracts (FTC) / temporary staff including casual staff such as Artist Models and Gym Assistants. The FTC can be split into 23 (51%) allocated to academic departments and 22 (49%) allocated to support departments. Collectively the 45 FTC's total 29.67 FTE, therefore on average each contract is approx. 0.65 FTE. 8 (6.1 FTE) of the 45 FTC are due to end by Qtr 2 of 16/17 academic year with a further 8 (7.3 FTE) scheduled to end in Qtr 3 and 23 (10.79 FTE) by Qtr 4. The remaining 6 (5.47 FTE) FTC continue into 17/18 covering Development and Fundraising Manager, E-Portfolio Project Support Officer and 4 Catering Assistants linked to the Raploch / Stirling Contract.



**Secondments Qtr. 1 (Aug – Oct)**

Currently the College has 9 employees who are currently on secondment across the College. The seconded posts present opportunities for internal staff to gain addition skills, provide career advancement opportunities, and contribute to the Colleges succession planning. In some cases they are also used to cover periods of long term sick cover.





**Leavers Qtr. 1 (Aug – Oct)**

There has been 19 employees leave College employment during August, September and October. The reasons range from retirement, resignation, end of contract and dismissal.

Dept.	Job Title	Type	Teaching/ Support	Leaver Type
BD	Assessor - Work Based (Engineering)	Temporary	S	Leaver - Resignation Career Progression
BD	Assessor - Work Based (Care)	Temporary	S	Leaver - End of Contract
CR	Gym Assistant	Temporary	S	Leaver - Resignation Career Progression
HSS	Catering Assistant	Temporary	S	Leaver - End of Contract
HSS	Catering Assistant	Permanent	S	
IT	IT Operations Coordinator	Permanent	S	Leaver - Resignation Career Progression
SS	Support Services Administration Assistant	Permanent	S	Leaver - Resignation Career Progression
AP	Lecturer	Permanent	T	Leaver - Retirement
AP	Lecturer	Permanent	T	Leaver - Voluntary Severance
AP	Lecturer	Permanent	T	Leaver - Voluntary Severance
ASME	Lecturer	Permanent	T	Leaver - Resignation Career Progression
CI	Lecturer	Permanent	T	Leaver - Retirement
CI	Lecturer	Permanent	T	Leaver - Resignation Career Progression
CI	Lecturer	Permanent	T	Leaver - Resignation Career Progression
CI	Lecturer	Permanent	T	Leaver - Resignation Career Progression
CI	Lecturer	Permanent	T	Leaver - Retirement
CI	Lecturer	Permanent	T	Leaver - Retirement
CR	Lecturer	Permanent	T	Leaver - Retirement
EICE	Lecturer	Temporary	T	Leaver - Retirement

**5. Implications**

The main implication is establishment 'creep' whereby department resource increases over the duration of the year without comparison to curriculum delivery and justified by business need. When considering the RAF process, which plays a key role in the justification and approval for recruitment, coupled with the annual curriculum review, whereby curriculum delivery is compared against Celcat,

these processes allow for department establishments to be monitored thus reducing the risk of establishment creep.

6. Equalities

Assessment in Place? – Yes  No

If No, please explain why – Not applicable

Please summarise any positive/negative impacts (noting mitigating actions) – Not applicable

7. Risk

Please indicate on the matrix below the risk score. Risk is scored against Impact and Likelihood as Very Low through to Very High.

	Likelihood	Impact
Very High		
High		
Medium		
Low	X	X
Very Low		

Please describe any risks associated with this paper and associated mitigating actions – Low in terms of likelihood given the approval and monitoring processes in place, the impact would be low given the control measures we have in place. Mitigating Actions – Monthly monitoring by HR, 4 stage approval for RAF and ACF process in place as well as the annual Curriculum Review of Celcat versus resources.

Risk Owner – Andrew Lawson

Action Owner – Steven Still

8. Other Implications –

Please indicate whether there are implications for the areas below.

Communications – Yes  No

Health and Safety – Yes  No

Please provide a summary of these implications – Not Applicable

Paper Author – Steven Still

SMT Owner – Andrew Lawson

**1. Purpose**

To discuss and contribute to the draft outline of a People Strategy for Forth Valley College.

**2. Recommendation**

It is recommended that the HR Committee discuss and contribute to the development of the People Strategy.

**3. Background**

The Audit Scotland Report recommends that public bodies should plan workforce changes on a three-year rolling basis; to take a longer-term view of the impact of their workforce, change programmes and the need to manage departure schemes and develop succession plans. Audit Scotland also requested that public bodies benchmark their current systems and processes against the criteria set out in the report - Appendix 1.

The information in appendix one clearly shows the current situation within Forth Valley College and demonstrates our commitment to develop a People Strategy for the organisation which goes beyond the three year recommendation by Audit Scotland

**4. Key Considerations**

The aim of the strategy is to retain and enhance the skills, knowledge and experience of the workforce and identify and develop talent within the College by implementing a clear succession planning process for the future.

Initial development of the People Strategy has commenced and will include exploration of the following areas (this list is not exhaustive)

**Analysis of structures (present and future)**

- Do they encourage progression, provide opportunity and enhance leadership qualities?
- Anticipated retirement (No DRA) – age demographic of employees and identification of key roles, project annually based over next 10 years
- Redesign of Structures - analysis overview and approval by SMT, undertaken by HR with HOD/HOS (already undertaken in some Support Depts)
- Identify existing talent gaps that requiring further development – fast track through PRD, SDAF
- Focused strategy on succession planning and talent management from SMT to HoD/HOS

**PRDs**

- Ensure effective PRDs are in place, (training by HR to all managers on how to effectively use PRDs, underlying theme for succession planning / talent management)
  - Move away from generic PRDs to individual and personal
  - PRD management guidance clearly prompts consideration of succession planning
-

- Commitment from SMT to raise the profile and push the importance of PRDs to HOD/HOS and CMs

#### Development

- Annual TNA's (Training Needs Analysis) undertaken with all HOD/HOS, this should link with Dept. Ops Plan, Curriculum and Budget review. Improved focus by HR in 16/17
- Bespoke individual CPD to develop and enhance skills and widen responsibility
- Talent management training – geared at competency based needs for categories of roles
- Talent Management Initiative – a programme to identify X amount of employees across College to enhance a portfolio of relevant skills and fast track development.

#### Identification of Succession planning

- PRDs / appraisal discussions
- Performance Leadership (Coaching / 360 feedback)
- Talent Management Initiative – a programme to identify X amount of employees across College to enhance a portfolio of relevant skills and fast track development
- Promote core values of FVC

#### 5. Financial Implications

**Please detail the financial implications of this item** – There will be cost associated with both planning work and the running of events. These costs have not been scoped at this time.

#### 6. Equalities

**Assessment in Place?** – Yes

**If No, please explain why** – N/A

**Please summarise any positive/negative impacts (noting mitigating actions)** –

Positive Impacts - Promotes opportunities for existing workforce and identifies skills gaps going forward.

#### 7. Risk

Please indicate on the matrix below the risk score. Risk is scored against Impact and Likelihood as Very Low through to Very High.

	Likelihood	Impact
Very High		
High		
Medium		X
Low	X	
Very Low		

**Please describe any risks associated with this paper and associated mitigating actions –**

That the workforce, skills, knowledge and experience within the College does not develop and embrace the challenges for the future. The planning and development process is key to the success of this initiative and will give a robust strategy direction for the future workforce

**Risk Owner** – Andrew Lawson

**Action Owner** – Andrew Lawson

**8. Other Implications –**

Please indicate whether there are implications for the areas below.

**Communications** – Yes

**Health and Safety** – No

**Please provide a summary of these implications** – Comprehensive engagement is key to the success of any strategy which will be developed. The strategy will be widely communicated to staff and its successful implementation will form part of key staff's PRD's.

**Paper Author** – Andrew Lawson

**SMT Owner** – Andrew Lawson

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	28 Feb 17	Nov 17
Apologies for Absence	✓	✓
Declarations of Interest	✓	✓

**FOR APPROVAL**

Minutes of Previous Meeting	✓	✓
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**FOR DISCUSSION**

Matters Arising	✓	✓
Staff Development	✓	✓
Health and Safety Update		✓
SFC Staff Performance Indicators		✓
Staffing Establishment Update	✓	✓
Programme of Committee Business	✓	✓
Risk Register/Review of Risks	✓	✓
AOCB	✓	✓

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