

**Stirling Campus**  
**4.30pm (refreshments available from 4pm)**

**AGENDA**

1. Declarations of interest
2. Apologies

**FOR APPROVAL**

3. Minutes of Meeting of 21 November 2017
4. Matters Arising
  - a) H/17/015 Health and Safety Update
5. Gifts and Hospitality Policy Andrew Lawson
6. Complaints Procedure – Principal Andrew Lawson

**FOR DISCUSSION**

7. Delivering the People Strategy Ralph Burns
8. Staff Development – February 2018 Ralph Burns
9. National Bargaining Report Andrew Lawson
10. Review of Risk
11. Any other competent business

**FOR INFORMATION**

12. Staffing Establishment Report Ralph Burns

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**Room S1.19, Stirling Campus (commencing at 4.30pm)**

Present: Mrs Beth Hamilton (Chair)  
Mrs Fiona Campbell  
Mr Davie Flynn  
Mrs Anne Mearns  
Mr Steven Torrie (Co-opted member)

Apologies: Mr Steven Tolson

In Attendance: Mr Andrew Lawson, Depute Principal and Chief Operating Officer  
Mr Ralph Burns, Head of Human Resources  
Ms Claire Shiels, Assistant Director for Estates Development (For Item H/17/015)  
Mr Stephen Jarvie, Corporate Governance and Planning Officer

**H/17/011 Declarations of Interest**

None

**H/17/012 Minutes of meeting held on 5 September 2017**

The Minute of the meeting of 5 September 2017 was accepted as an accurate record, subject to a minor amendment to the attendance listed.

**H/17/013 Matters arising**

a) H/17/006 Staff Development – August 2017

The Depute Principal and Chief Operating Officer noted that members had requested that the winners of the “Dragons Den” competition at the Creative Learning conference come a future meeting of the Board of Management to present their ideas. He confirmed that their ideas were still under development and would be brought to a future meeting of the Board of Management.

The Depute Principal and Chief Operating Officer also noted that members had provided feedback on the level of detail and presentation of papers, with concerns that the reports were too operationally focussed. He confirmed that the format of the reports had been updated and would be presented to members for feedback on what level of detail is appropriate.

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**H/17/014      Complaints Overview 2016/17**

The Corporate Governance and Planning Officer presented the annual report on complaints received by the College Executive Office in 2016/17. He highlighted that there were no significant trends identified within the complaints received

Members welcomed the continuing decrease in the number of complaints and also noted that the summary information on the complaints received gave a good flavour of the culture in place within the College for dealing with complaints.

- a)      Members noted the content of the report

**H/17/015      Health and Safety Update**

The Assistant Director for Estates Development presented the Health and Safety update in its new 'newsletter' format.

She went through the report with members to ascertain which information members considered to be the most relevant.

Members noted that the full version of the report as presented may be useful as part of the induction to new members of the Board as it provides a comprehensive overview of Health and Safety and Sustainability within the College.

Members queried the information presented on induction training. Following review, it was noted that there was some erroneous data contained in this part of the report. Some individuals listed as new start staff not having completed inductions training were not actually involved in student conduct e.g. new members of the Board of Management. As such, listing these members as not having completed their induction training was erroneous and skewed the statistics presented. Members agreed that this information should be reviewed and an updated copy of the paper prepared and circulated to members. The updated version would also be the one published on the College website.

Following further consideration of the report content, members requested that information be summarised at a high level with detailed exception reporting only when it is necessary. The revised report should be brought to the Committee twice per year.

- a)      Members noted the content of the report

**H/17/016      Staffing Establishment Update**

The Head of Human Resources also presented members with a revised report format and sought feedback on the content of the report covering the College staffing establishment.

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Members welcomed the refreshed look of the paper and the value of the executive summary. They noted that College staffing had remained very stable for a number of years and, as with the Health and Safety report, recommended a reporting format which covers the highlight figures, with deeper reporting by exception.

- a) Members noted the content of the report

**H/17/017 GTCS Pilot Scheme and Verification**

The Depute Principal and Chief Operating Officer presented a paper on a recent pilot run between the College and the General Teaching Council of Scotland. He reported that this pilot enabled lecturing staff to become registered with GTCS and that, following the pilot, the GTCS had verified the College to continue with this activity.

He highlighted that, during the pilot, the College had paid the GTCS registration fees but that, going forward, if lecturers wished to register they would need to pay the fee themselves.

Members queried whether registration was compulsory to progress beyond TQFE status. The Depute Principal and Chief Operating Officer confirmed that this was not the case and that the option of registering and completing additional training was being offered as a CPD opportunity for lecturing staff.

- a) Members noted the content of the paper

**H/17/018 National Bargaining**

The Depute Principal and Chief Operating Officer provided members with an update on the current status of National Bargaining for the College sector. He highlighted that the changes agreed to date did not have a major impact on the College terms and conditions and highlighted that he was also now a member of the Management Side negotiating team.

- a) Members noted the content of the report

**H/17/019 Review of Risk**

Various risks were considered but none were amended

**H/17/020 Any Other Competent Business**

The Depute Principal and Chief Operating Officer notified members that a paper on the Death In Service contractual benefit would be taken to the next meeting of the Board of Management for consideration.

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**1. Purpose**

To present members with the updated College policy regulating the receipt and disclosure of Gifts and Hospitality to College staff and Board Members

**2. Recommendation**

That members consider and approve the attached policy.

**3. Background**

Forth Valley College has had a Gifts and Hospitality Policy in place for a number of years.

With the increase in Commercial and International activity, it was decided that this policy would benefit from a review.

**4. Key Considerations**

The attached policy was reviewed and updated by the Head of Human Resources with additional input from the Corporate Governance and Planning Officer.

While the existing policy was deemed to still be relevant there were slight amendments made. These included –

- Raising the disclosure amount from £25 to £50 to reflect increased costs
- Including in the policy a mechanism whereby Board Members could disclose Gifts and Hospitality they may receive

**5. Financial Implications**

None as the management of this policy would fall within the remit of existing staff.

**6. Equalities**

**Assessment in Place? – No**

**If No, please explain why – Not required**

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

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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		
Medium		
Low		
Very Low	X	X

**Please describe any risks associated with this paper and associated mitigating actions** – The College has not had any incidents in recent years of staff being offered inappropriately expensive gifts or hospitality. The updated policy document will continue to support staff/Board members who may be offered gifts/hospitality.

**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** – Relevant staff will be informed and the policy will form part of the Board member induction process.

**Paper Author** – Stephen Jarvie

**SMT Owner** – Andrew Lawson

# Gifts & Hospitality Policy and Procedure

<b>Status</b>	For Approval
<b>Date of Version</b>	February 2018
<b>Responsibility for Contents</b>	Human Resources
<b>Responsibility for Review</b>	Human Resources
<b>Impact Assessment Review Date</b>	December 2020
<b>Review Date</b>	February 2021
<b>Primary Contact</b>	HR Business Manager

## **1. WHO DOES THE POLICY APPLY TO?**

The Policy applies to all College employees and members of the Board of Management. The aim of the Policy is to protect members of staff and Board members from accusations of impropriety and to demonstrate transparency in the College operations. Any breach of the policy will be regarded as misconduct, leading to disciplinary action up to and including summary dismissal.

## **2. EQUALITIES IMPACT ASSESSMENT**

We welcome feedback on this Policy and the way it operates. We are interested to know of any possible or actual adverse impact that this Policy may have on any groups in respect of gender, race, disability, sexual orientation, religion or belief, age or other characteristics.

An Equalities Impact Assessment of this Policy has been carried out. The policy has been written to fully comply with all obligations in respect of employment law and equality legislation and to take account of recommended best practice. It is therefore not anticipated that this policy will result in a negative or adverse impact on one or more groups in respect of any protected characteristic.

## **3. POLICY GUIDELINES**

You must never canvass or seek gifts or hospitality.

You are responsible for your decisions connected with the offer or acceptance of gifts or hospitality and for avoiding the risk of damage to your integrity or public confidence in the College. As a general guide, it is usually appropriate to refuse offers except:

- isolated gifts of a trivial nature or inexpensive seasonal gifts such as a calendar or diary, or other simple items of office equipment of modest value.
- normal hospitality associated with your duties and which would reasonably be regarded as inappropriate to refuse e.g. tea/coffee, lunch following a meeting. This includes hospitality/expenses received while seconded to a third party such as SQA or HMIE.
- gifts received on behalf of the College.
- gifts of a cultural nature issued to an individual as a sign of friendship. Staff should use their own personal judgement as to the appropriateness of gifts and disclose any such gifts to their line manager to ensure transparency and to protect personal and college integrity.

You must not accept any offer by way of gift or hospitality which a member of the public might reasonably think could influence you in the performance of your duties. You should also consider whether any gift to a member of your family or organisation in which you have an interest may be perceived as having an influence on your judgement.

Where the hospitality offered takes the form of an invitation to a social or sporting event, the member of staff concerned should consult their line manager before accepting. In considering whether or not to accept the invitation, care should be taken to ensure that



questions of improper influence have been fully considered. In dealing with commercial partners and in particular international partners it is recommended that further guidance is sought from the appropriate commercial or international manager before accepting or refusing a gift/hospitality.

The term 'gift' includes benefits such as relief from indebtedness, loan concessions, or provision of services at a cost below that generally charged to members of the public.

You must not receive repeated hospitality from the same source.

#### **4. REPORTING PROCEDURE : GIFTS AND HOSPITALITY REGISTER**

All gifts and hospitality received should be reported to your Head of Department / Service Manager in the first instance.

For Board of Management members, all gifts and hospitality received should be reported to the Secretary to the Board.

Gifts and hospitality with a value exceeding £50 from a single source must be recorded, using the Gifts and Hospitality Form, in the Gifts and Hospitality Register maintained by the Corporate Governance and Planning Officer/Depute Clerk to the Board who will also provide a copy of the required form. The register will include the names of the giver and the recipient(s) and details of the gift or hospitality received including an estimate of its value.

The Register is open to public inspection.

It is the responsibility of the recipient of a gift/hospitality to ensure that entries in the Gifts and Hospitality Register entries are up to date.

In cases where the employee's line manager agrees that the gift/hospitality was sent to the employee as a token of gratitude for work carried out to a particularly high standard or for an exceptional level of service given, the employee may, at the line manager's discretion, be permitted to retain the gift/hospitality (up to £50). Decisions on gifts/hospitality over £50 will be agreed by the SMT member for that area. Thus small gifts or equivalent hospitality that are genuinely given as a token of appreciation or gratitude will be acceptable, provided that the employee properly declares the gift in line with this policy and provided that the employee does not subsequently treat the person who sent the gift more favourably than other customers/suppliers, etc. Where there is doubt over the value of the gift/hospitality it should be treated as if it were over the value of £50.

#### **5. CONCLUSION**

Gifts and hospitality is an extremely difficult area. It is difficult to anticipate every eventuality and members of staff are asked to observe the spirit as well as the letter of this policy statement.

In every case, you should consider both your personal position and that of the College. In particular, you should consider how a particular example would appear to external scrutiny.

If you have any doubt about the appropriate action to take, or if you have any questions about the application of the Policy, you must contact the Corporate Governance and Planning Officer/Depute Clerk to the Board or their representative.

## **6. LINKS TO OTHER POLICIES**

Depending on the current or future relationship between the giver and the College you should also refer to the following policies and procedures:

- Anti-Bribery and Corruption Policy
- Procurement Policy
- Travel and Expenses Policy
- Whistleblowing Policy
- Discipline and Dismissal Policy

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**1. Purpose**

To present members with the new Discipline and Dismissal Policy for the role of Principal

**2. Recommendation**

That members consider the content of the attached and approve this for recommendation to the Board of Management for final approval.

**3. Background**

In 2017, the local EIS branch raised a complaint against the Principal of the College.

The complaint was considered by the then Chair of the Board of Management and, with the support of independent legal advice and the unanimous backing of the Board of Management, no action was taken.

**4. Key Considerations**

Following the decision of the Board of Management, EIS further raised this matter with both the Scottish Funding Council and the new Chair of the Board of Management.

While both SFC and the new Chair found no grounds to overturn the decision of the Board of Management, it was agreed that a specific policy should be developed to manage complaints raised against the Principal and to clarify the process for all parties involved.

The attached policy document was developed based upon the existing Discipline and Dismissal policy which applies to all other College staff and which had previously been ratified by the College's recognised trade unions. The changes made to the policy reflect the seniority of the role of Principal and the involvement of the Board of Management in investigating any complaints received and making and applying decisions based on these investigations.

The updated Policy has also been shared with the College's recognised trade unions.

**5. Financial Implications**

None as the management of this policy would fall within the remit of the Board of Management.

**6. Equalities**

**Assessment in Place? – No**

**If No, please explain why – Not required**

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

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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		
Medium		
Low		
Very Low	X	X

**Please describe any risks associated with this paper and associated mitigating actions** – While the College received a recommendation for the development of the attached policy, this was in order to enhance transparency. Previous decisions relating to this issue taken by the Board of Management were based upon sound, independent legal advice and these decisions were upheld.

**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** – Copies of the policy will be retained by corporate governance staff and provided to the Board of Management should the policy be required to be enacted in the future.

**Paper Author** – Stephen Jarvie

**SMT Owner** – Andrew Lawson

# Principal Disciplinary and Dismissal Policy and Procedure

Status	Draft
Date of Version	December 2017
Responsibility for Contents	HR (Inc Nominations) Committee
Responsibility for Review	HR (Inc Nomination) Committee
Impact Assessment Review Date	
Review Date	December 2020
Primary Contact	Board Secretary

## **1 INTRODUCTION**

This document outlines the College Disciplinary and Dismissal policy and procedure. The College recognises the importance of attempting to resolve discipline issues, and welcomes the opportunity to address these matters informally wherever possible.

In particular this document details:

- Some examples of when these procedures will apply
- The steps involved in dealing with disciplinary issues
- The appeal process

## **2 EQUALITIES IMPACT ASSESSMENT**

We welcome feedback on this Policy and the way it operates. We are interested to know of any possible or actual adverse impact that this Policy may have on any groups in respect of gender, race, disability, sexual orientation, religion or belief, age or other characteristics.

An initial Equalities Impact Assessment of this Policy will be carried out. The policy has been written to fully comply with all obligations in respect of employment law and equality legislation and to take account of recommended best practice. It is therefore not anticipated that this policy will result in a negative or adverse impact on the post holder in respect of gender, race, disability, sexual orientation, religion or belief, age or other characteristics.

## **3 WHO DOES THE POLICY APPLY TO?**

This policy applies to the Principal of Forth Valley College of Further and Higher Education.

## **4 WHEN DOES THE POLICY APPLY?**

The Board of Management will apply the procedures set out in this policy if it proposes or contemplates taking disciplinary action against or dismissing the Principal (unless in its sole discretion, it decides that it is inappropriate to do so).

Some examples of the circumstances that these procedures would normally be applied to are:

- suspension with pay (pending an investigation)
- disciplinary action (including dismissal) for a reason related to the Principal's conduct, e.g. misconduct or gross misconduct
- disciplinary action (including dismissal) for a reason related to capability (relating to work performance or absence)
- dismissal for some other substantial reason

This list is not exhaustive.

It may not be appropriate to apply these procedures if:

- a party who would be involved in the procedures reasonably believes that following them would result in a significant threat to the person or to property or the Principal's further harassment
- the case meets the criteria of any other lawful exemption

If the Principal believes that the particular circumstances are such that one of these exclusions applies he/she should explain this to the Chair of the Board of Management.

Misconduct related to work will normally lead to disciplinary action being taken. The type of action that will be taken will be decided in accordance with individual circumstances, including the seriousness of the misconduct and whether it is a first occurrence of unacceptable conduct. Examples of what would be classed as misconduct and gross misconduct can be found in APPENDIX 1.

## **5 COMPLAINT**

Any complaint or grievance against the Principal should be made in writing to the Chair of the Board of Management, who will then designate the Chair of the HR (Inc Nominations) Committee (or the Senior Independent Member of the Board of Management – for the purpose of this document these terms are interchangeable) to review and if necessary launch an investigation into the complaint or grievance.

The Chair of the HR (Inc Nomination) Committee may seek legal or independent professional advice, if required, when determining the most appropriate course of action, if any, is to be taken.

## **6 INVESTIGATION**

Before any form of disciplinary action is taken or dismissal occurs the Board of Management will normally undertake an investigation. In certain circumstances the Board of Management may consider that it is not appropriate to carry out an investigation, for example:

- where the issue is relatively minor; or
- the Principal has been caught in the act and there are no mitigating circumstances;
- he/she has admitted that they were in the wrong.

In circumstances where an investigation is not considered necessary, the Chair of the HR(Inc Nomination) Committee will normally conduct a fact finding meeting and any subsequent disciplinary hearing where appropriate.

The Board of Management will endeavour to ensure that investigations are completed in the shortest time consistent with the necessity for a full and thorough examination of the facts. If the Principal's actions are subject to investigation they will be informed of this prior to the commencement of the investigation. Although each incident will require different forms of investigation, the process should allow for:

- appropriate enquiry into the background of the alleged misconduct
- an opportunity for the Principal to offer an explanation
- a balanced view to be taken on all of the facts and recommendations on how to proceed

Where relevant an Investigating Officer will be appointed by the Chair of the HR (Inc. Nomination) Committee from amongst the non-executive membership of the Board of Management. Board Members involved in this process shall be entitled to seek external legal advice at any point during the process. The Secretary to the Board of Management or Depute Secretary of the Board of Management may be requested to be note taker at investigatory meetings to support the Investigating Officer. All College staff will be required to cooperate fully in such an investigation. College staff will have no formal role in the process beyond this.

In the paragraph below, 'a witness' refers to any employee who is involved in the investigation, including the Principal who is subject to investigation.

Where the Investigating Officer requires to interview a witness who is absent from work due to sickness, the witness will be contacted to state that they are required to participate in the investigation. Usually the witness statement from the sick witness will be taken on their return

to work, or sooner where the witness feels able to participate in the investigation before this time.

Where relevant the Investigating Officer may write to any witness who remains unfit for work to ask for written responses to their questions to allow them to conclude their investigation. However, where a witness' absence is prolonged they may be asked to attend the College's occupational health service for an independent medical opinion. This is primarily to support the management of the witness' sickness absence case (in line with the Absence Management Policy) but also to determine when the witness will reasonably be able to participate in the investigation in order that the investigation can be concluded as quickly as possible to the benefit of all parties concerned.

Once the investigation is complete, the Investigating Officer will prepare a written report on the basis of the available information and make recommendations on how to progress the case to the Chair of the HR (Inc Nominations) Committee. The report will be made available to the Principal if the matter progresses to a formal hearing.

The Chair of the HR (Inc. Nomination) Committee will take the decision if a disciplinary hearing is appropriate in the circumstances. Before a hearing is convened, the Chair of the HR (Inc. Nomination) Committee, who would normally be the chair of the potential hearing, will review the investigatory report and associated evidence where appropriate. The Chair of the HR (Inc. Nomination) Committee will then decide whether they consider the alleged misconduct serious enough, and if there is sufficient evidence to take the case forward to a formal hearing.

Where the grounds are not deemed serious enough and / or there is not sufficient evidence to warrant a formal disciplinary hearing, the Chair of the HR (Inc. Nomination) Committee may choose to either progress informal action (see Section 7) or take no further action. Under such circumstances the Principal will be contacted to confirm that no further formal action is being taken.

In the case where formal action is appropriate, the date of a disciplinary hearing will be notified to the Principal as soon as reasonably possible on the completion of the investigation. It may be appropriate for the Investigating Officer to attend the disciplinary hearing in order to present the findings of the investigation.

Where the allegations relate to financial irregularities or possible illegality, the Chair of the Board of Management shall be immediately informed. Further investigation by the Internal Auditors may be considered necessary.

So far as is reasonable, confidentiality will be maintained throughout the processes carried out in terms of this Policy.

## **6 SUSPENSION**

If the Principal is suspended they will be given written confirmation of the reason(s) for suspension and the date from which this takes effect. The written confirmation will be issued within 5 working days of the start date of suspension.

It will be made clear to the Principal that investigative, or precautionary, suspension is not a disciplinary sanction and is not in any way to be considered as a sanction in respect of any alleged misconduct.

The Principal may only be suspended on the authority of the Chair of the HR (Inc. Nomination) Committee following consultation with the Chair of the Board of Management. The period of suspension will be as short as possible.



The College recognises that if the Principal is placed on suspension they have a right of confidentiality and that publicity can cause unnecessary embarrassment and suffering. It is policy therefore that, so far as is reasonable, there will be no disclosure of allegations other than to those who may be professionally involved or require to be consulted as part of the investigation.

The Investigating Officer will remind all those involved in the investigation of their obligation to maintain confidentiality. However the Principal should be made aware that it may be necessary to disclose certain information so that the College can fully investigate the circumstances of the allegation(s).

## **7 INFORMAL DISCIPLINARY ACTION**

This is normally the first level of a disciplinary procedure for first occurrences of misconduct other than misconduct which is deemed serious enough to warrant a formal procedure.

The emphasis is upon the Chair of the Board of Management or Chair of the HR (Inc. Nomination) Committee, discussing the situation with them and listening to any mitigating circumstances from which agreed remedial action can be taken or developed. The Principal will be made aware that further misconduct could result in formal disciplinary action being instigated. This will constitute an informal warning.

An accurate note of the meeting will be taken and kept for future reference by the Board Member initiating the discussion. The Board Member will provide the Secretary to the Board of Management with a file copy of the note of the meeting and this will also be recorded on the HR Information System. Such a record is to be expunged after a period of 6 months.

The purpose of an informal warning is to provide an opportunity for improvement without the necessity of invoking the formal disciplinary procedure.

## **8 FORMAL DISCIPLINARY ACTION**

### **8.1 Convening a Hearing**

When it appears that the Principal's work, behaviour, conduct, omission or capability is such as to warrant formal disciplinary action, the Principal will be invited to a disciplinary hearing.

The Principal will be given at least 5 working days' notice of the disciplinary hearing, he/she will be advised of the allegations against them, and / or the circumstances surrounding their case, and that the outcome of the hearing may include disciplinary action, up to and including dismissal. During the course of the investigation, further or different allegations may arise and these will be outlined in the notice of a disciplinary hearing.

The Principal will be provided with a copy of any investigatory report and all other associated evidence.

Where the Principal wishes to call or obtain statements from witnesses other than those carried out by the Investigating Officer (internal or external to the College), this must be discussed and agreed with Chair of the HR (Inc. Nomination) Committee prior to any contact being made.

All contact with witnesses and external people/organisations must be carried out on a professional basis and maintain the confidentiality of the process for both the Principal and the College. It is the responsibility of the Principal and/or their representative to make any necessary arrangements in respect of taking statements and arranging for their witnesses to attend the hearing if required.

Where the Principal intends to call witnesses, refer to witness statements or other documentation, the names of the witnesses and copies of all statements/documents must be provided to the Chair of the hearing no later than 3 working days in advance of the hearing. Failure to submit this information could result in the information being unable to be considered at the hearing. Witness working patterns will be taken into account when arranging the Disciplinary Hearing, this may be out with the relevant timescales.

Where the Principal is absent from work due to sickness, they will be asked if they are fit to attend the hearing. Where the Principal considers themselves unfit to attend the hearing, they will be asked to attend an appointment with the College's occupational health provider. Where the Principal refuses to attend an occupational health appointment it is likely that the disciplinary hearing will be convened in their absence.

## **8.2 Right to be Accompanied**

The written statement inviting the Principal to attend the disciplinary hearing will remind the Principal of their right to be accompanied at the disciplinary hearing by a companion who is either:

- a colleague who works for the College; or
- a legal representative

If the Principal reasonably requests that such a person attends a formal hearing with them but that companion cannot attend, the College will postpone the hearing once, to give the Principal the opportunity to make alternative arrangements. Normally the postponement will not be any longer than 5 working days. If the Principal wishes a longer postponement they must explain this to the Chair of the hearing who will consider the reasonableness of the request with the Chair of the Board of Management.

A companion may not answer questions on the Principal's behalf.

## **8.3 Disciplinary Hearing Panel**

The hearing will be convened as soon as practicable. The Chair of the hearing shall be entitled to request a professional advisor, who may be an external individual with a legal or other relevant background. The Chair of the hearing shall be the Chair of the HR (Inc. Nomination) Committee

## **8.4 Conducting the Hearing**

The Chair of the hearing will outline the format of the disciplinary hearing. The Investigating Officer will usually present the facts found during the investigation. However, if the Investigating Officer is not present, the Chair will present the facts on behalf of the Investigating Officer. The Principal will then be given the opportunity to reply to the allegations against them, if any, or to the circumstances surrounding their case, present a defence and / or put forward mitigating circumstances which are relevant to their case.

During the hearing either party may request a brief adjournment to enable private discussion. In exceptional circumstances, the College may wish to adjourn the hearing to allow for further investigation or gather further evidence. In such circumstances, it may be necessary to reconvene the hearing on a later date.

Prior to the conclusion of the hearing the Principal will be given the opportunity to make a final statement. Thereafter the Chair shall adjourn the hearing and consider the matter in private along with their chosen professional advisor. The Chair's role is to determine whether or not it is reasonable, given all the evidence and circumstances, to impose a disciplinary sanction and the level of sanction. The Chair will either recall the Principal and any representative and give the

decision verbally, or advise that the outcome will be confirmed in writing normally within 10 working days.

At the conclusion of any hearing resulting in disciplinary action, the Principal will be advised of the right of appeal.

The Principal will be issued with written confirmation of any disciplinary action resulting from a disciplinary hearing within 10 working days of the conclusion of the hearing. This will include, where relevant, details of any previous issues relating to them, details of any timescales within which improvement is to be achieved and the likely consequences if there is no improvement. A copy of the written confirmation will be retained in their personnel file.

## **8.5 DISCIPLINARY ACTION**

In cases where there is a reasonable belief of the Principal's guilt of the alleged misconduct the following disciplinary action may be taken:

### **8.5.1 DISCIPLINARY SANCTIONS**

- a) For minor offences, a formal **verbal warning** will be issued making it clear that further misconduct and / or failure to improve will render the Principal liable to further disciplinary action. They will be told the reason for the warning and what action they need to take to reach an acceptable standard of conduct. If appropriate, they will be offered extra training and/or counselling and given a time limit for improvement.
- b) For a more serious offence, or further misconduct following a lesser warning, or where the Principal has failed to respond satisfactorily to earlier warnings a **written warning** will be issued making it clear that further misconduct and / or failure to improve will render the Principal liable to further disciplinary action. They will be told the reason for the warning and what action they need to take to reach an acceptable standard of conduct. If appropriate, they will be offered extra training and/or counselling and given a time limit for improvement.
- c) Where the severity of misconduct merits it, or further misconduct following a lesser warning happens, or where the Principal has failed to respond satisfactorily to earlier warnings where the warning is extant/live, a **final written warning** will be issued making it clear that further misconduct and / or failure to improve will render the Principal liable to further disciplinary action and could result in their dismissal. They will be told the reason for the warning and what action they need to take to reach an acceptable standard of conduct. If appropriate, they will be offered extra training and/or counselling and given a time limit for improvement.
- d) For an act or acts of further misconduct, other than gross misconduct, and / or failure to improve when still subject to a previous warning, the Principal may be liable to **dismissal** with notice or with pay in lieu of notice.
- e) In cases where gross misconduct is alleged and is established on the balance of probabilities, the Principal will be liable to **summary dismissal** and have no entitlement to notice or pay in lieu of notice.

Warnings may only be authorised by the Chair of the hearing. If a warning is issued, that fact shall be recorded in the Principal's personnel file.

## 8.5.2 RETENTION PERIODS

Subject to satisfactory conduct, warnings will normally be expunged from the Principal's personnel file after the following period:

Verbal Warning -	6 months from the date of issue
Written Warning -	12 months from the date of issue
Final Written Warning -	18 months from the date of issue

If on appeal, or any other reconsideration, any disciplinary action is effectively withdrawn, then all written reference to that action will be expunged from the Principal's personnel file and they will be notified accordingly.

Where their conduct is such that a pattern of abuse of the system emerges, or that due to the nature of the offence, evidence of satisfactory conduct can only be satisfied over an extended period, warnings will remain on their record for a longer period to be determined by the Chair of the disciplinary hearing. They will be notified of the length of time for which the warning will remain extant.

The College reserves the right to omit any stage of the procedures if the Chair of the HR (Inc. Nomination) Committee considers that it is appropriate to the individual circumstances, whilst ensuring that the procedure adopted is compliant with ACAS guidelines.

## 9 APPEALS

The Principal may appeal against any formal disciplinary action taken under the above procedures. Appeals should be submitted in writing by the Principal within 5 working days of receipt of the confirmation of a disciplinary action. The appeal should be submitted to the Chair of the HR (Inc. Nomination) Committee. The Principal should also make clear the basis of their appeal, i.e.

- they have not committed the alleged act or acts of misconduct (if so, new evidence should be submitted); and/or
- the disciplinary sanction decided upon.

An appeal will not normally be by way of re-hearing unless the Principal has additional material to introduce which was not available at the time of the disciplinary hearing. Normally, the appeal hearing will reconsider the original decision.

If the decision that the employee is appealing is a decision to dismiss them, the appeal hearing may take place after their dismissal has taken effect.

Appeal hearings will be arranged as soon as possible and normally within 4 working weeks of receipt of the appeal but this may depend on the availability of persons holding the appeal or on other factors. Reasonable notice of the date of an appeal will be given.

The College will remind the Principal of their right to be accompanied at the appeal hearing.

### 9.1 Appeal Panel

Appeals will be heard by the Chair of the Board of Management. Panels will comprise of one other person from the non-executive members of the Board of Management. Any person previously involved in the case will be excluded from membership of the panel. The Secretary to the Board or Depute Secretary to the Board may attend as note taker and external advisors may

be invited at the discretion of the Chair of the Board of Management. All supporting papers will be issued to Panel members prior to the date of the Appeal Hearing.

## 9.2 Appeal Procedure

At any appeal hearing the Principal will be given the opportunity to submit a case for confirmation, reduction or withdrawal of the disciplinary action taken. If the Principal is appealing the decision they should submit further / new evidence for the panel's consideration.

Where the Principal wishes to call or obtain statements from witnesses other than those obtained as part of the original investigation / hearing (internal or external to the College), this must be discussed and agreed with the Chair of the Board of Management prior to any contact being made. The names of the witnesses and copies of all statements must also be provided to the Chair of the appeal hearing no later than 3 working days in advance of the appeal hearing.

All contact with witnesses and external people/organisations must be carried out on a professional basis and maintain the confidentiality of the process for both the Principal and the College.

It is the responsibility of the Principal and/or their representative to make any necessary arrangements in respect of taking statements and arranging for their witnesses to attend the hearing if required.

In submitting an appeal, the Principal must be aware that the severity of sanction could be increased as well as being reduced.

The decision of an appeal panel may be given immediately after the conclusion of the appeal hearing or in writing, within 10 working days of the appeal procedure being concluded.

The College will either:

- uphold the original disciplinary decision and confirm the original disciplinary sanction or dismissal (no change)
- confirm the original disciplinary decision and substitute a new sanction (increase or decrease to sanction)
- overturn the disciplinary decision (remove the disciplinary sanction).

There is no right of further appeal.

## **MISCONDUCT**

Most breaches of disciplinary rules fall within this category and would not normally result in dismissal, except in cases of repeated misconduct after a warning or warnings have been given. Examples of misconduct are given below, but are not exclusive or exhaustive:

- a) Negligence in the performance of official duties or non-compliance with College procedures;
- b) Habitual poor timekeeping or absence;
- c) Discrimination (on the basis of any of the protected characteristics i.e. age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex or sexual orientation)), harassment, bullying or intimidation of other employees or members of the public. In certain circumstances the seriousness of an offence may result in an immediate charge of Gross Misconduct;
- d) Refusal to carry out a reasonable instruction from an appropriate manager;
- e) Failure to wear protective clothing when required or not using safety equipment provided for any specific task;
- f) Undertaking any form of unauthorised private business activity which, in any way is in conflict with the interests of the College, or which relates to the nature of the duties undertaken by the individual;
- g) Misuse of College IT facilities including inappropriate use of the Internet;
- h) Disclosure of information in contravention of rules on Data Protection;
- i) Inappropriate or offensive behaviour or conduct;
- j) Careless disregard of the College's rules or a breach of its policies and procedures.

## **GROSS MISCONDUCT**

Gross misconduct will be considered to have taken place when the Principal's conduct, behaviour or omission, whether in the course of employment or otherwise, is so grave as to strike at the basis of the relationship between employer and employee.

The following list of offences arising in the course of employment are examples of incidents that may be treated as gross misconduct. Examples given below are not exclusive or exhaustive.

- a) Inability to carry out the functions of the post due to being under the influence of alcohol and/or drugs;
- b) Wilful damage to, or destruction of property or equipment;
- c) Theft or unauthorised possession of property or facilities belonging to the College or another employee or student;
- d) Fraud or deliberate falsification of official documentation for example College records, registers, reports, accounts, expenses claims or falsely awarding pass marks to students;

- e) Repeated or serious refusal to carry out any legitimate instruction from an appropriate or senior manager;
- f) Absence from work without permission or without notification or contrary to the conditions on which specific permission to be absent has been granted;
- g) Serious negligence in the performance of official duties or non-compliance with College procedures which causes or might cause unacceptable loss, damage or injury;
- h) Conduct likely to bring the College into disrepute, for example damage to college reputation, abusive language, violent behaviour, fighting, threatening violence, immoral or obscene conduct, whether within or outside the workplace;
- i) Excessive or inappropriate use of foul or abusive language or threats made to other employees, students or members of the public;
- j) Conviction of a criminal offence considered potentially damaging to the College, or preventing an individual from performing their work;
- k) Serious disregard to any safety requirement imposed by law or specified within the College Safety Policy documents;
- l) Serious discrimination (on the basis of any of the protected characteristics i.e. age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex or sexual orientation) harassment or intimidation of other employees, students or members of the public;
- m) Inappropriate relationship or behaviour with a College student;
- n) Misuse of the College's property or name or otherwise bringing the College into serious disrepute;
- o) Serious misuse of IT facilities including downloading or viewing pornographic images from the intranet;
- p) Serious breach of confidence (subject to the Public Interest Disclosure Act 1998) or serious breaches of rules on Data Protection;
- q) Serious breach of trust and confidence.

## 1. Purpose

To provide members with the information gathered from the Workforce Planning Review conducted as a part of the Implementation Plan for the People Strategy.

## 2. Recommendation

That member's note the findings of the Workforce Planning Review and make comment.

## 3. Background

The Implementation Plan was designed to interpret the high level aims of the People Strategy and was structured systematically, commencing with a review of recent trends, on the premise that this will support predictions for future needs and aid in the decision-making process.

## 4. Context

As part of the Year One Implementation Plan three distinct areas were highlighted as areas for review, required to provide a structure on which to build future plans. These included:

### a) Leadership development

- ensuring current leaders feel supported and confident in meeting the expectations of their roles
- have the skills to support and develop their teams regarding their group and individual needs and aspirations
- focus efforts on meeting strategic aims

### b) The development of staff with high potential to take up business critical roles and leadership positions, reducing risk and enhancing career progression through succession planning

### c) The development of the individual

- The development of the individual as part of a flexible, multi-skilled workforce
- Future ready skills development
- Development supportive of career aspirations and college needs
- Understanding, communicating and collaborating with colleagues to shape the future

To support these objectives data was collected and categorised as follows:

### a) Current Workforce Data

A staff establishment overview providing an understanding of the college staffing structure at its most basic level.

### b) Recruitment, Retention and Turnover

Trends in internal promotion (linking to career opportunities), external recruitment (linked to skills shortages).



**c) Engagement, Health & Wellbeing**

Including Performance Review & Development, this looks at maximising the contribution of staff through matching the needs of the college with the aspirations and motivations of staff.

**5. Financial Implications**

**Please detail the financial implications of this item** – The information provided here will help shape future decisions on areas of focus including investment in time and funding required for development.

**6. Equalities**

**Assessment in Place?** – Yes  No

**If No, please explain why** – This paper represents factual information gathered to support decisions making

**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

**Risk Owner** – Ralph Burns

**Action Owner** – Andrew Lawson

**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** – Ralph Burns

**SMT Owner** – Andrew Lawson

Implementation Plan for the People Strategy

Workforce Planning Review

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## Index

### Page

**2**      **Background**

**3**      **Introduction**

**4**      **Current Workforce Data**

**8**      **Recruitment, Retention and Turnover**

**10**     **Engagement, Health and Wellbeing**

**12**     **Risk Analysis**

**15**     **Actions**

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## Background

Forth Valley College set itself the strategic goal of “instilling an energy and passion in our people, celebrating success and innovation” and in line with this devised the People Strategy 2017-2022. The college went further stating:

“We recognise and value our staff and are keen to support our continued success through investment in the development of our staff to maintain and enhance their skills”

### FVC Strategic Plan 2017-22

In creating the People strategy a commitment was made to the following:

- ✓ **Develop** and empower our people as a workforce of the future
- ✓ **Ensure** all college activities reflect the key principles of equality and diversity to achieve an inclusive organisation
- ✓ **Value** staff by recognising and celebrating success

This led to four key areas of focus



From this an implementation plan for the initial phase, year one, was devised with the aim of developing a structure to build upon, with the achievement of these goals in mind.

This structure is a focus on Professional Development using the Performance Review and Development (PRD) process. Leadership Development, and High Potential Development. To commence with, a review of the colleges current workforce was undertaken.

# Introduction

The People Strategy is an ambitious, coordinated approach to meeting current and future needs of the College and encompasses individual development, succession planning, and creating a future ready workforce capable of meeting the demands of a dynamic and unpredictable environment. As part of the implementation plan understanding recent trends will support predictions for future needs and aid in the decision making process.

The workforce planning review has a number of applications and to put into perspective an understanding of short, medium and long term planning is helpful.

**Short term workforce planning** is normally under a year and is concerned with utilising the existing workforce and replacing gaps as necessary. This can be compared with operational planning at its most basic.

**Medium term workforce planning** is akin to devising department operational plans in relation to staffing needs and skills availability. Middle managers will organise a training needs analysis, performance management requirements, recruitment and finance. This will be linked to meeting operational goals.

**Long term workforce planning** is a strategic goal. Reviewing past trends, forecasting future needs and integrating itself into strategic objectives.

To meet the goals of the People Strategy, the workforce plan will analyse past trends in order to predict of future needs. The figures used are point in time and subject to fluctuations consistent with a live organisation.

## Areas covered

### 1. Current Workforce Data

A staff establishment overview providing an understanding of the college staffing structure at its most basic level.

### 2. Recruitment, Retention and Turnover

Trends in internal promotion (linking to career opportunities), external recruitment (linked to skills shortages).

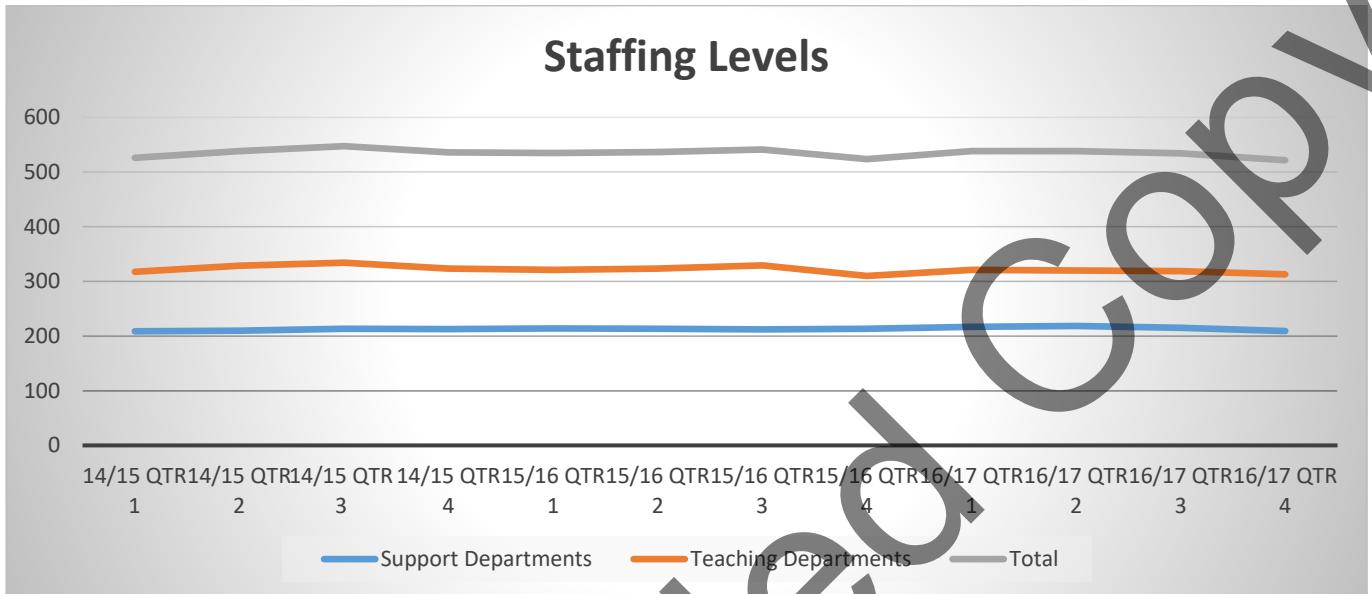
### 3. Engagement, Health & Wellbeing:

Including Performance Review & Development, this looks at maximising the contribution of staff through matching the needs of the college with the aspirations and motivations of staff.

As a focal point for data analysis the academic year 2016/17 was used. A comparison to the preceding years was used where possible dependent on data integrity.

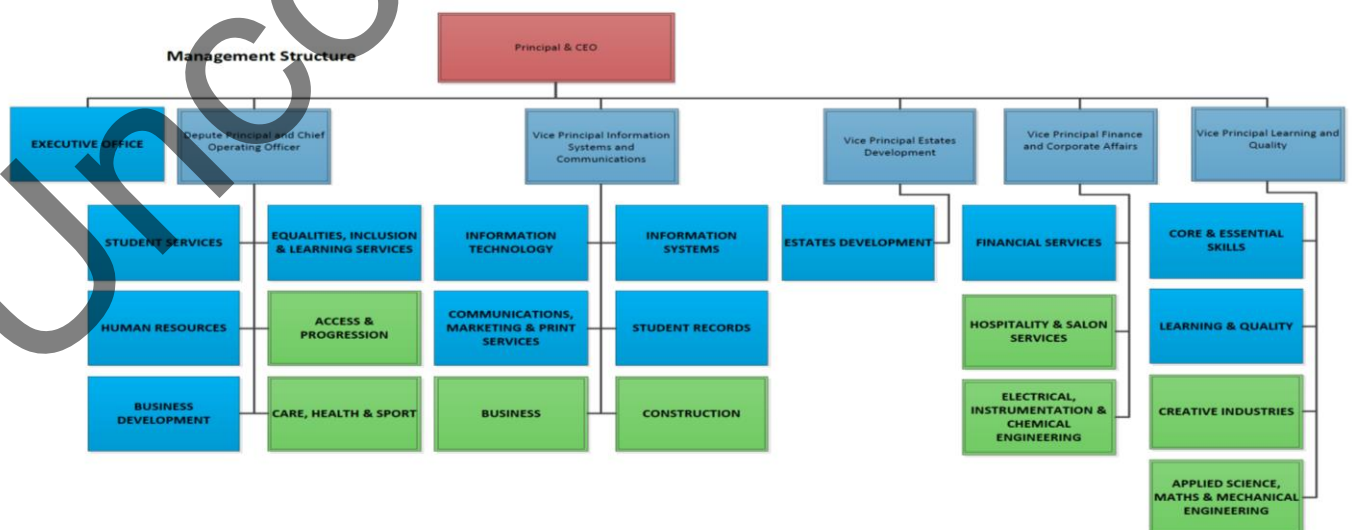
# 1. Current Workforce Data

Forth Valley College operates in a dynamic environment, including uncertainty on funding, national bargaining, education at the forefront of the political agenda, and the changes in student needs and expectations. Despite these challenges the college has remained stable within its establishment with a near flat staffing level.

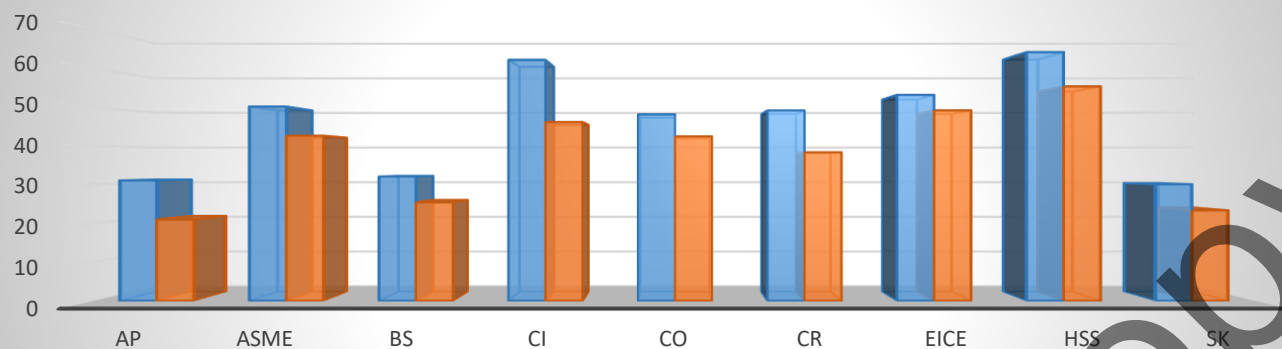


The college has two distinct groupings of staff, Support Departments and Academic Departments. The latter are primarily responsible for direct teaching delivery and encompass all lecturing staff, curriculum and operational managers and Heads of Teaching, as well as a number of support roles with direct classroom involvement. For support departments the makeup is more complex as not only are there the more traditional departments found in most organisations such as Finance, HR, Marketing and IT support but also those that reflect the colleges core function as a Further and Higher Education provider coupled with a commercial arm.

The structure is as follows:

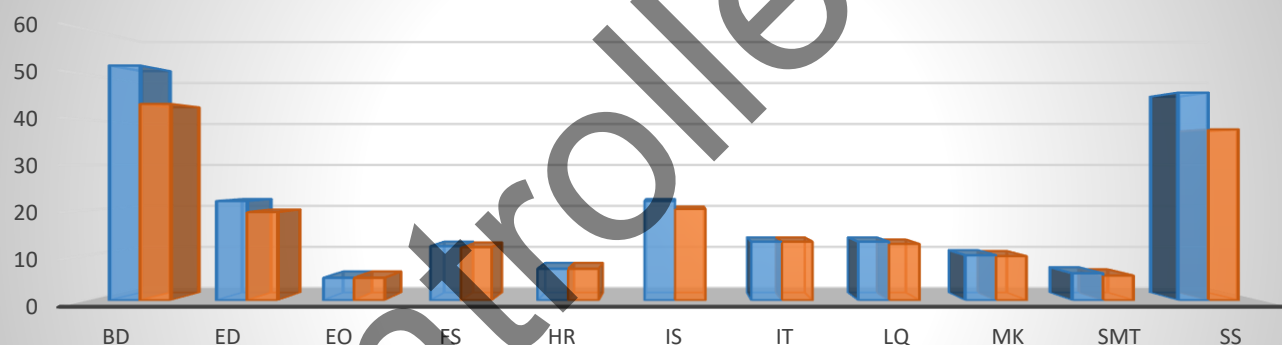


### Teaching Depts- Headcount & FTE



	AP	ASME	BS	CI	CO	CR	EICE	HSS	SK
Headcount	31	50	32	62	48	49	53	64	30
FTE	21.0	42.5	25.4	46.0	42.3	38.3	49.0	55.2	23.3

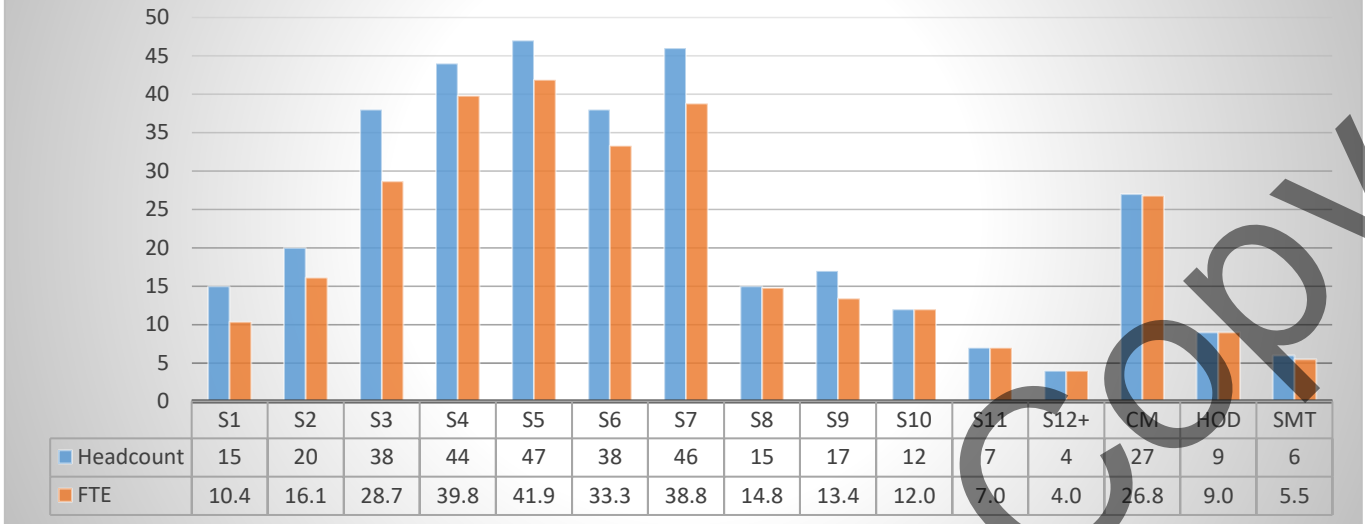
### Support Depts- Headcount & FTE



	BD	ED	EO	FS	HR	IS	IT	LQ	MK	SMT	SS
Headcount	52	22	5	12	7	22	13	13	10	6	46
FTE	43.5	19.5	5.0	11.8	7.0	20.2	13.0	12.5	9.8	5.5	37.9

An added complexity of analysing and devising a planning strategy lies with over 160 role profiles for 626 staff (though 46% of those staff hold the position of lecturer). These are continuously updated, added to or replaced. Support staff are job evaluated and placed in the relevant grade as shown below. This is based on the job evaluation system criteria however this can be considered broadly as the skills, knowledge and competencies required for the role. This creates challenges, not least that the varied skills, knowledge or competencies needed (even within the lecturer role) can limit flexibility to the job group. Support staff are graded on support levels S1 to S12 with grades 13 and 14 limited to Heads of Teaching and selected other senior roles. CM/OM's and lecturers are part of national bargaining agreements.

## Staff by Grade



NB: In addition to the above there are 281 lecturers (226.2 FTE).

From this, an understanding of career paths and opportunities for advancement, linked to skills and competency development (which also enhances motivation and performance) begins to develop. To support analysis and to rationalise the development opportunities and resourcing needs, roles have been placed into the following categories.

**Administration** – this category includes administration and clerical based roles all of which have a similar essential and desirable competencies with varying degrees of responsibility and complexity. They cover salary grades S2 to S7.

**Technical** – this category includes technicians, assessors, IT technical staff, learning facing roles such as LDWs and LDFs and some senior administration roles, which contain a more specialist nature and therefore require specific ‘technical’ skills/knowledge to undertake. They cover salary grades S3 to S9.

**Others** – this category includes roles in the college such as Cleaning, Catering, Facilities and Gym Staff with little or no direct promotion opportunities. They cover salary grades S1 to S4.

**Curriculum Managers and Head of Teaching** – this category includes all heads of academic departments and their Curriculum/Operational Managers. They cover CM/OM to HOD scales.

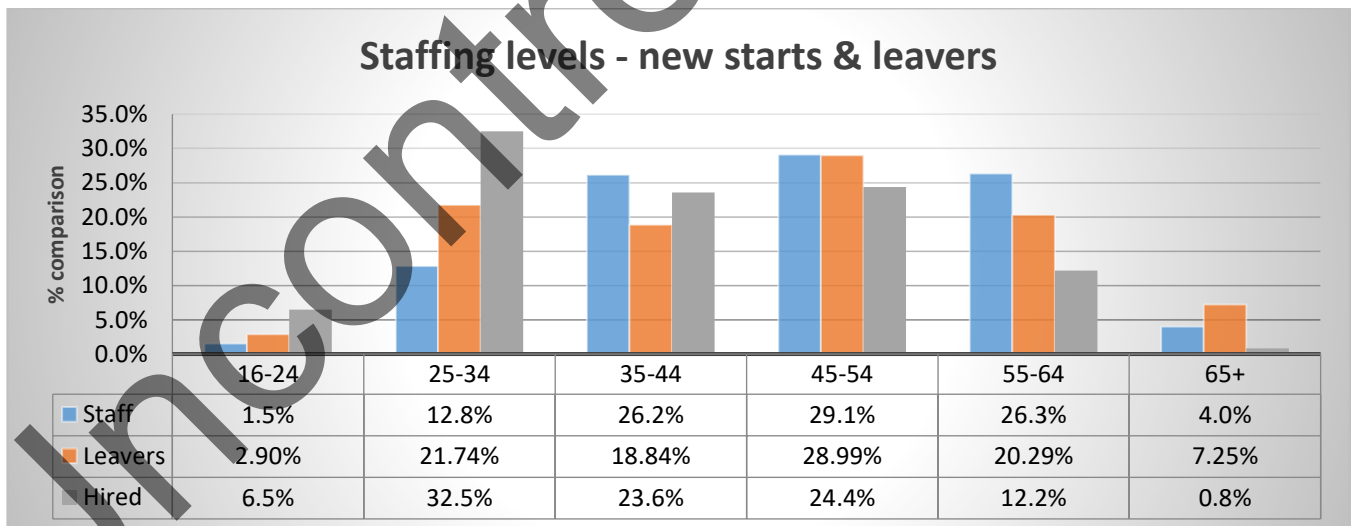
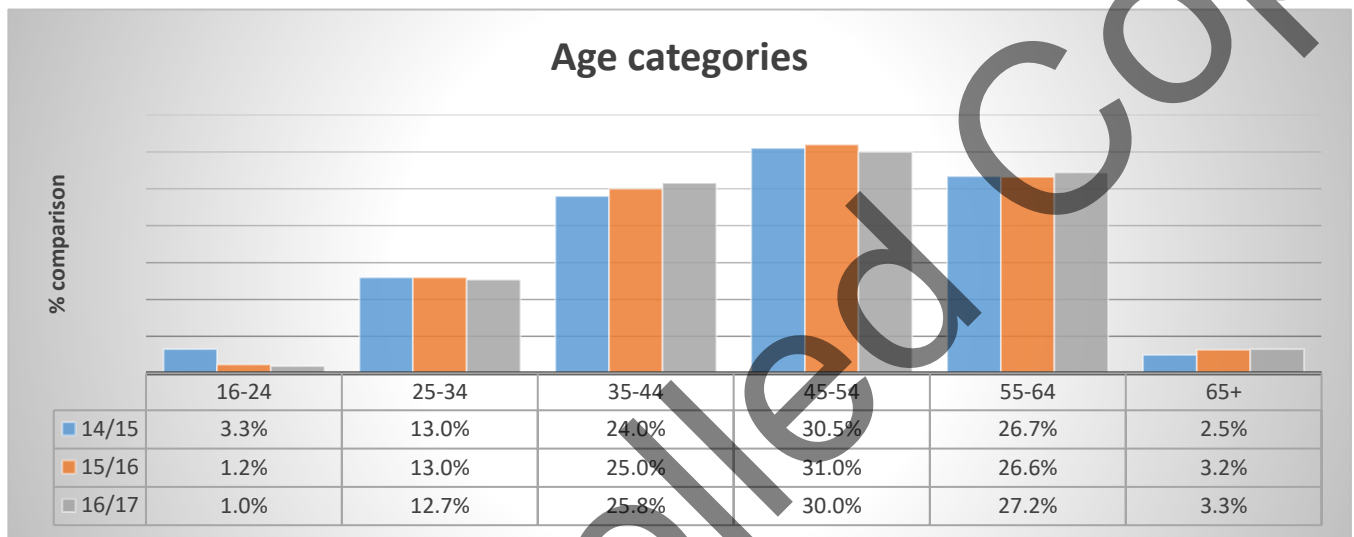
**Heads of Service and Managers** – this category includes all service department heads and other administration and specialist support managers. They cover all support staff on salary grades S10 and above.

**Lecturers** – this category includes all lecturing staff on the non-promoted lecturing scale.



## Staff Establishment and Age

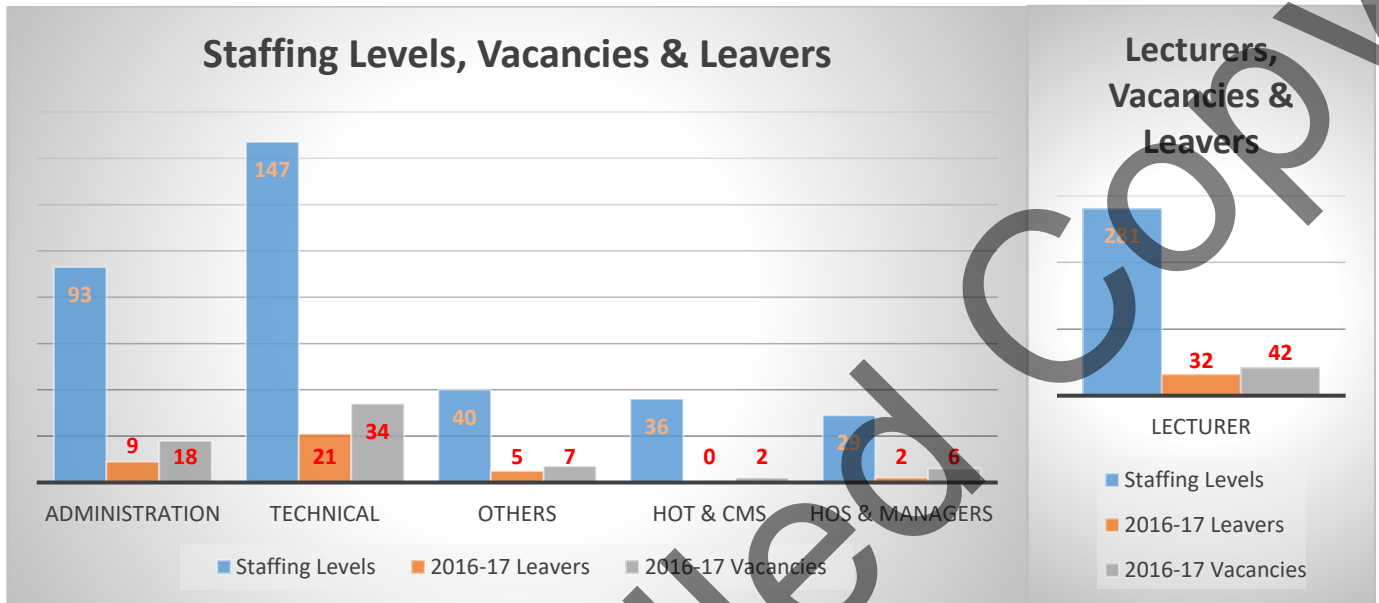
Whilst it is not the intention of this report to conduct a full equality audit of the establishment (as other reports do this), it is appropriate to look at the age makeup of staff due to the impact of this area on resource availability. An initial overview shows consistency within each age banding, with 30% of staff reaching potential retirement age within 10 years. The trend is further set by turnover and recruitment statistics however these highlight a steady turnover of staff within the 55 plus categories with recruitment proportionally higher in 25 to 34 range. This cycle is enforced by service length with over half of staff having 10 or more years' service.



Whilst the staffing establishment is flat, the numbers of opportunities do exceed that of those leaving due to short-term secondments (for reasons including absence, maternity and short-term projects). Note these figures represent headcount (where more than one person may have been taken on for each post)

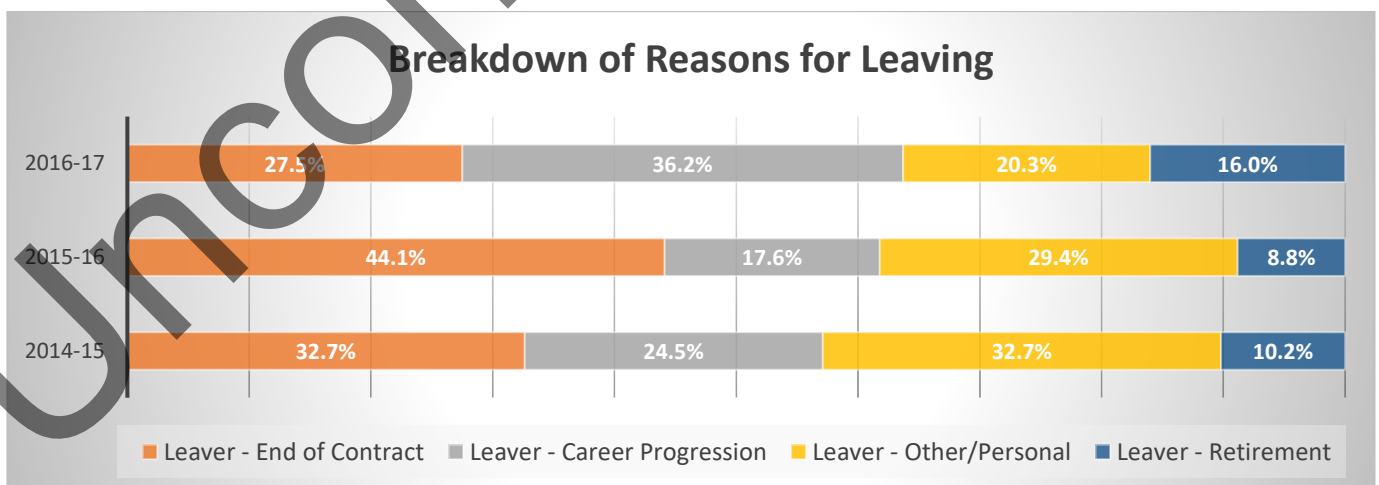
## 2. Recruitment, Retention and Turnover

The staffing establishment only provides part of the picture. To further understand challenges to the establishment and in turn develop strategies to ensure the college has the skills to meet current needs and the resources to deal with future requirements, is an analysis into staff movement.



NB: Staffing and leavers are headcount. Vacancies represent actual posts advertised

The 69 leavers represented 11% of staff (compared to CIPD average figures of 16.5%). The increase in part time working, a trend related to changes in flexible working legislation and the removal of the default retirement age, is now at 22.4% of staff and results in higher staff numbers whilst FTE remains consistent.



## Opportunities

The following relates to opportunities for staff and highlights potential risks to the college and includes where the vacancies/opportunity came from and where they were filled.

Area	No of Vacancies	No of Hires	Reasons for Post			
			Temp Cover	New Post	Replacement	Restructure
Administration	18	19	6	2	9	1
Technical	34	40	8	6	20	0
Others	7	7	4	0	3	0
HOT & CM	2	2	1	0	1	0
HOS/Mgrs	6	5	2	2	1	1
Lecturer	42	50	6	10	26	0
<b>Total</b>	<b>109</b>	<b>123</b>	<b>27</b>	<b>20</b>	<b>60</b>	<b>2</b>

Area	External Hires	Internal Hires	Internal Hires Breakdown			
			Opportunity	Temp to Perm	Promotion	Secondment
Administration	9	10	1	1	3	5
Technical	26	14	1	1	6	6
Others	5	2	2	0	0	0
HOT & CM	1	1	0	0	0	1
HOS/Mgrs	1	4	0	0	2	2
Lecturer	29	21	15	3	2	1
<b>Total</b>	<b>71</b>	<b>52</b>	<b>19</b>	<b>5</b>	<b>13</b>	<b>15</b>

These represent one year 2016/17. The heading 'Opportunity' include sideways moves and increased hours. Note figures here also include automatic changes such as temp to perm and restructured roles and not only advertised vacancies. Key statistics here are 13 promotions for internal staff and 15 secondment opportunities. Also of note is the reliance on external recruitment in technical/lecturing roles.

A further analysis of a three year period focussing on Managerial levels (2014/15, 2015/16 and 2016/17) showed the following:

There were 5 opportunities for Head of Teaching in 3 departments, one permanent and 4 secondments all filled internally. There were 13 CM/OM opportunities spread over the teaching departments 5 of which were permanent and one filled externally.

Heads of Support Departments, in the same three year period had 7 permanent vacancies and 8 temporary. 4 permanent vacancies and 2 temporary were filled externally.

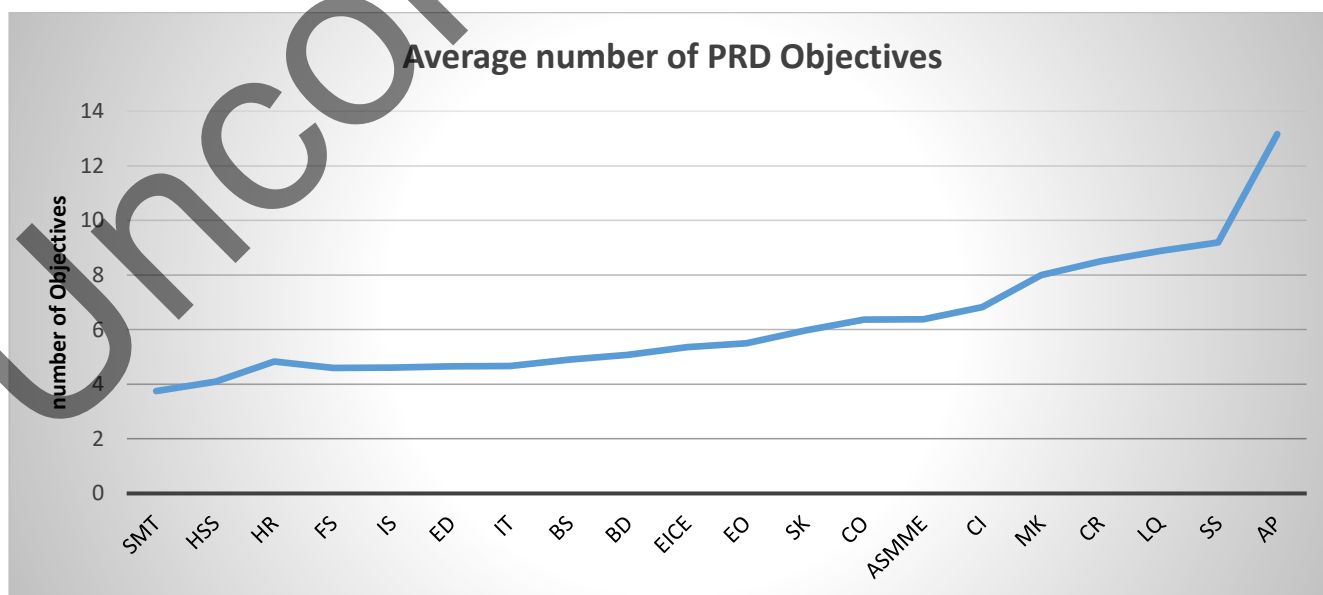
### 3.Engagement, Health and Wellbeing

It is recognised that including staff in decision making and ensuring appropriate communications streams are in operation not only improves the short term effectiveness but also improves overall commitment, satisfaction and enhances personal development. The college engages with staff through committees and projects as well as in department meetings, briefings and one to ones. Staff are involved at various levels including:

- Board of Management
- Consultation meetings with unions
- Health and Safety Committee
- Creative Learning group
- Healthy Working Lives
- Sustainability Committee
- SMT
- Heads of Teaching
- Heads of Support Services
- Curriculum Managers
- Equalities and Inclusion
- Short term working groups such as GDPR and Staff Development

### Development

Fundamental to developing a workforce is matching skills present to skills needed and planning to fill any gap. The college has a process of producing a college wide operational plan, from which department plans are devised. Performance Review and Development (PRD) meetings take place with each employee to set personal objectives based on the department plans. Development needs are highlighted here to support the employee in achieving these personal objectives.



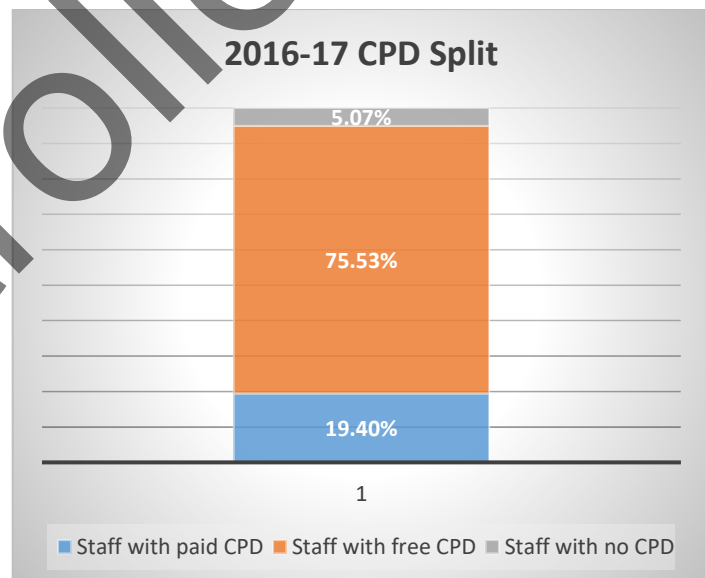
The average number of objectives set in 2016/17 was 6, however across departments double digits are common for some staff, with one employee reaching 24 current objectives.

Meetings held per year between manager and employee to discuss PRD progress is shown on the chart below with 75% of staff having at least one meeting per year to discuss the following: discussion on setting objectives, progress on objectives, setting new objectives, signing off these objectives once complete and identifying support needed to complete the objectives. Completion of meetings during 2016/17 showed only 37% had meetings within the last quarter of the year (May to July).

Headcount	Staff with at least 1 Meeting	Staff with at least 2 Meetings	Staff with at least 3 Meetings	Staff with at least 4 Meetings
626	473	260	71	6

## Individual development

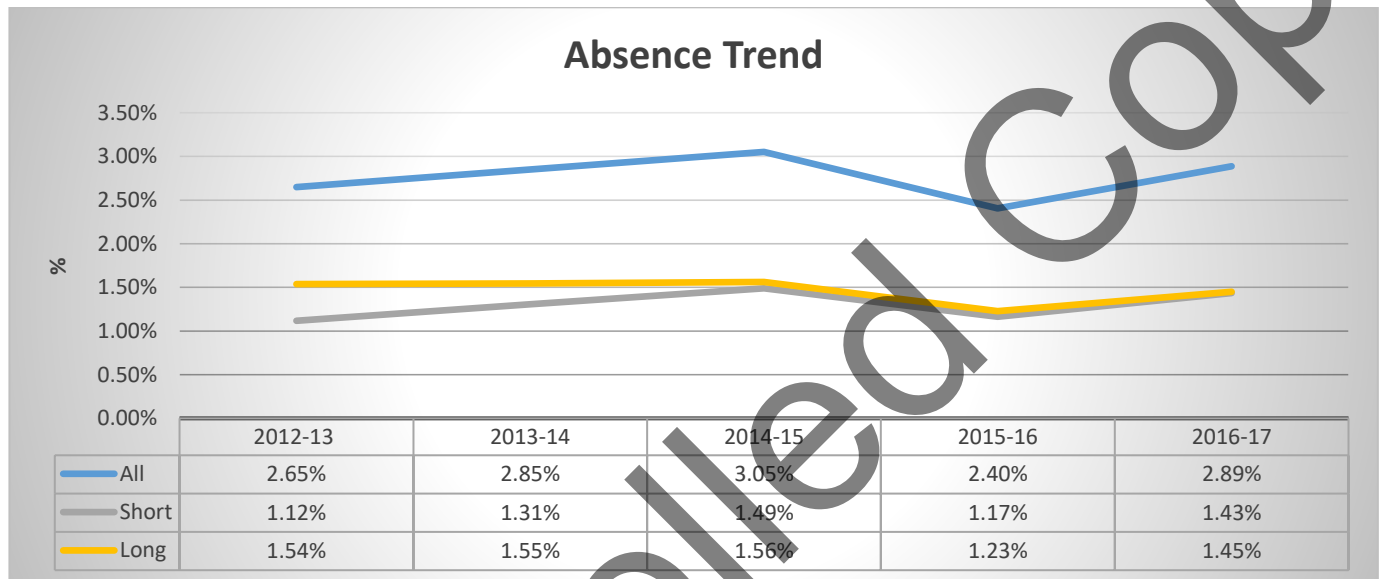
There is clear indication that development costs are focused on specific staff however there is no indication as to the rationale for this. Further, 5 % of staff indicate no development hours allocated to them. Improvements have been made to CPD recording including the ability to record ad hoc learning and mandatory compliance training recording.



## Absence

In reviewing absence trends within the context of establishment two aspects are particularly relevant. Firstly the impact of absence on operations which on its own is worthy of study. Secondly as an indication of organisational health in relation to morale, commitment, and supportive practices.

The college is running at an average absence rate of 3% compared to CIPD figures for Education at 4%.



Staff, in addition to a sick pay scheme offering up to 6 months full pay and 6 months half pay, are supported with a number of measures including:

- Access to occupational health
- Welfare visits
- Return to work interviews
- Confidential counselling service
- Work positive policy (supporting workplace stress)
- Supportive flexible working practices and phased retirement
- Inclusive Risk Assessments
- Performance Support Plans

There is also an active healthy eating drive in the canteen and access to a gym. Use of the gym is encouraged subject to operational needs. Training has been launched in 2017/18 to all those with line manager responsibilities to better support staff and the college in managing absence. In addition a review of reasons for absence shows an increased trend in mental health related absences

## Risk Analysis

Issue Description	Risk if no action is taken	Action
Management Skills	Lack of ability in measuring performance, setting objectives, dealing with conflict and managing complex interpersonal relationships in the workplace can have negative results at either local or college wide level. These include failure to meet objectives, high turnover or absenteeism, low levels of engagement and even bullying and stress.	Supporting the manager by equipping them with the appropriate skills and importantly confidence in meeting the demands of team leadership
Technical Skills	Costly external recruitment and delays in implementing projects and services. Demotivation for internal staff where new opportunities are not offered to existing staff	A balance between what can and cannot be developed internally. Managers must be open to losing existing staff to allow them to be retrained. A culture to support the wider college aims as opposed to compartmentalisation
Vacancies	Vacancies would indicate an ability to fill most managerial opportunities internally however key posts where the college diversifies are being filled externally. This indicates a lack of planning, leaving the college at risk to slow reactions to challenges and new priorities	Development of staff needs to encompass future needs (as opposed to direct succession planning). Multiskilling and keeping abreast of new skills requirements. Utilise short-term temporary opportunities to improve development of current staff
Engagement	Information from the Cultural Survey and feedback from Staff through various mediums indicates a desire to have greater inclusion. Failure to heed this may result in loss of talent, lower levels of commitment and less creative solutions	<p>Introduce a pilot scheme 'Listening to Employees' to expand the contribution of staff in key areas where collaboration between those with a diversity of experiences and skills will benefit both contributors and college alike.</p> <p>Improve engagement through increased autonomy and reaction to localised needs</p>

Absence	Absence trends change and an increase in mental health related absence, including personal stress and family concerns, may impact on operational efficiency and be detrimental to both objective achievement and to our reputation as a supportive and caring employer	A review of provisions and a development towards a supportive formalised approach
Personal Development	PRD figures indicate a poor uptake on meetings and a variation on objective setting questioning the purpose and validity of the exercise	A review of what works, what needs improved and what will motivate and engage is required
Turnover and the Ageing Workforce	Low turnover of staff limiting opportunities to bring in new skills. This results in an ageing workforce risking a loss of knowledge, skills and awareness should large numbers take the opportunity to retire and new staff not having enough time to retrain.	An average service of 10 years provides an opportunity to develop staff to maintain our supply of skills and knowledge and to retain those skills within the college.



## What next

Key actions taken from the findings of the plan and the risk analysis include:

Plans to undertake a short life working group to continue. This will include are review of:

- Personal Development
  - It is clear that there needs to be a focus on the value of the process as a tool to not only improve output but to develop the individual, motivate and engage
- Leadership Development
  - Confidence through developing the skills needed to lead and the competencies that match the expectations of staff and senior managers alike
- High Potential Development
  - Supportive of the college long term goals

SMT buy-in on next steps including:

- Review findings of short life working group and prioritise actions
- Define the leadership qualities and competencies needed to meet the values and aspirations of the College (Success Profile)
- Determine points of failure and business critical posts and set action plan to reduce risk

Develop programme to equip leaders with the ability to meet college expectations.

In line with pre-determined focus points, implement the agreed priorities for talent management programme

Consider opportunities to consult with a wider range of employees. Launch of first meeting of 'Listening to Employees' in March as a starting point.

Undertake a review of provisions to support staff during times of personal stress as part of overall support and engagement approach including financial security and carers' provisions

**1. Purpose**

To provide information on the recent Staff Development event held on 16 February 2018.

**2. Recommendation**

It is recommended that members note the report on recent support staff development which was designed to support the College's commitment to the Creative Learning and Technologies Strategy.

**3. Background**

In recent years, there has been a focus on Creative Learning for teaching staff and this has been embedded into the College's Learning Strategy as a key aim. As part of the Creative Learning and Technologies Strategy, a key aim is to have our staff digitally competent and confident in making the best use of technology. In order to progress this, a Staff Development Day was arranged for Support Staff on 16 February 2018, focusing on Digital Technology

Part of the day was a 'Digifest' digital technology fair in the main hall and the aims of this were to:

- Showcase a range of the existing technologies used within the college to staff members.
- Inspire and motivate staff to embrace digital technology.
- Encourage staff to engage and collaborate across departments and improve their skills with regards to technologies being used within the college.

**4. Approach**

The day was split into two parts, with a digital technology fair which had a number of stalls showcasing different technologies used by different departments, this included Microsoft Surface demonstrations, 3D printing, Defibrillation Machine, Electric Bikes, Gym equipment through virtual reality and skype for business. Staff were encouraged to walk through the hall and see demonstrations, ask questions and have an opportunity to engage with the technology themselves.

There were also a number of workshops held throughout the day that staff could book onto in advance. This included workshops looking at the use of SharePoint and working smarter, cyber hacking, Moodle, and a team building workshop which will have employees taking part in a treasure hunt using digital technology. Further information is contained in the appendices to this paper.

**5. Key Considerations**

**Creation of a specific working group**

Within the College's Operational Plan, there is a strategic objective to "further engage staff and students in initiatives to embed creativity in learning". A short life working group was created consisting of 20 support staff from a wide range of roles. This focussed on the specific requirements of staff and their preferred mode of learning. A second meeting took place to confirm

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the content of the day and to gather any further feedback for the day. Staff were comfortable with the final format and many were happy to see that their suggestions had been taken forward. A number of ideas suggested within the group will be taken forward on 16<sup>th</sup> February, please find attached event list and overview.

**6. Financial Implications**

**Please detail the financial implications of this item** – Staff Development is budgeted through the HR budget.

**7. Equalities**

**Assessment in Place?** – Yes  No

**If No, please explain why** – Not Applicable

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

**8. 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		
Very Low	X	X

**Please describe any risks associated with this paper and associated mitigating actions** – No risks were identified in association with this staff development activity

**Risk Owner** – Ralph Burns

**Action Owner** – Andrew Lawson

**9. 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** – All support staff were made aware of the events available and how to book onto the optional sessions.

**Paper Author** – Ralph Burns

**SMT Owner** – Andrew Lawson

Course Name & Facilitator	Overview	Number of Sessions
There is more to Moodle – Jasmin Hodge	Learn from the Moodle team in an interactive session that there is so much more to Moodle for staff and students. Take a tour around the Moodle environment and discover Moodle with the opportunity to ask questions and share ideas.	2 sessions 1xAM and 1xPM
Working Smarter - James Aston	<p>The session will look at using the time saving features and integration functionality of Outlook, OneNote &amp; SharePoint.</p> <p>Areas covered will include:</p> <ul style="list-style-type: none"> <li>· Reducing email by using task allocation and exporting to OneNote</li> <li>· Working with tasks/reminders with Outlook and OneNote</li> <li>· Using Categorisation</li> <li>· Linking Outlook to SharePoint lists/libraries</li> <li>· Linking meeting requests between outlook and OneNote</li> <li>· Working collaboratively using SharePoint and/or OneNote</li> </ul> <p>Setting up SharePoint notifications</p>	3 Sessions 2xAM, 1xPM
Cyber Hacking - Jim Davidson	This is an overview of the different types of hackers and how they will try and steal your data and how some simple steps can help keep you safe in a cyber-world.	3 sessions 2 x AM, 1xPM
Treasure Hunt using Virtual Reality - Kim Reid	<p>Technology is changing all the time and what better way to learn about it than to get involved.</p> <p>This fun and interactive workshop introduces you to Sam. You will learn how this new type of information platform could be beneficial to you and your service through the eyes of a new student.</p>	3 sessions 2xAM, 1xPM
Corporate Parenting - Scott Harrison & Jean Duff	<p>Forth Valley College and its staff are all Corporate Parents.</p> <p>This means that we provide additional support for young people who are care experienced. This workshop will help define care experience, what barriers these learners face, what additional support we provide them and what you as an individual can do to help them.</p>	2 sessions 1xAM 1xPM

<b>Overview of Digifest Stalls</b>
<b>3D Printing - Lisa McLaren</b>
Demonstrations on how the 3D Printer works, what it can be used for. The 3D printer will be running a demonstration and some examples of things which have been printed in the past.
<b>Skype for Business - Sean Taylor/Damien Martin</b>
Demonstrate LIVE Skype for Business calls, Instant Messenger and Video calling. Take questions on all aspects of Skype for Business.
<b>Employee Record - Lorraine Webb</b>
Demonstration on how My Employee Record operates and how to carry out key functions such as booking CPD, Holidays, expenses etc
<b>Gym Tasters - Wai Munn Lee</b>
Staff will have the ability to look at different pieces of equipment and use augmented reality to see how to work each piece of equipment.
<b>Cycle Scheme - Dylan Randell</b>
Electric bike demonstrations with Liftshare, Nextbike and Cycle to Work promotion
<b>Xibo Screens - Andrew Kenny &amp; Andrew Rodger</b>
Demonstrate digital signage on multiple screens. 'Wall O' Screens'
<b>Surface Pro - James Kerr</b>
Demonstration on how My Employee Record operates and how to carry out key functions.
<b>Defrib Machine - Anne McInnes &amp; Graham Leebody</b>
This stall will give people an introduction to a defib machine to highlight how easy it is to use. The stall will be manned and people will be available to; discuss defib units, answer questions on the units, and also demonstrate the correct use on a CPR dummy. Hopefully this session will give people, otherwise not trained in first aid, the confidence and knowledge to use the defib if required. Also, this would act as a worthwhile refresher for first aiders.
<b>New Campus VR - Marc McCusker</b>
Shots of main areas of new campus will be viewed through virtual reality glasses.
<b>Assistive Technology - Laura Hutton</b>
Showcase of assistive technology and productivity tools.
<b>Raspberry Pi - Students and Vivien Gallacher</b>
Showcase of Raspberry Pi abilities and robot demonstrations
<b>GDPR - Unmanned - Gill</b>
Posters for GDPR
<b>Essential Skills -Kim Reid</b>
Showcasing the Essential Skills on-line tool which allows learners to track their Career Management skills. This showcase will allow staff the opportunity to see how they could also map their service against the tool.

## 1. Purpose

To inform the HR Committee of the current situation in relation to National Bargaining.

## 2. Recommendation

That members note the developments and outcome of the National Bargaining process.

## 3. Background

The National Bargaining process began in 2015/16 with the majority of Scotland's Colleges signing a National Recognition Procedure Agreement (NRPA) which moved colleges from local negotiations to national negotiations. This process includes:

- Pay
- Working hours
- Annual leave
- Maternity & Paternity leave
- Family Friendly Policies
- Transfer to Permanent Status
- Grievance and Disciplinary Policies

To date, the main focus has been on harmonisation of pay and working hours (T&Cs) for lecturing staff and pay, annual leave and job evaluation for support staff. There has also been agreement on a job matching process for promoted posts for Forth Valley College; this relates to our Curriculum and Operational Manager roles.

## 4. Current Situation

### Lecturers

#### The Core

The core conditions of service for both lecturers and promoted lecturers (Curriculum Managers) have now been agreed by EIS and their members.

The result of the ballot was Yes: 96% No: 4%

This resulted in the following:

### Lecturers

- Harmonisation of salary over a three year period to a top salary of £40,026
  - 23 hours teaching per week plus 1 additional hours teaching, with a maximum of 8 hours within any 12 consecutive teaching week period.
  - 62 days fixed annual holidays per year
  - Permanency following two years continuous fixed terms contract
  - Salary conservation for 3 years
-

### Promoted Staff (Curriculum Managers)

Job Matching to level 2 for the promoted post was placed at £46,925, an increase of £1,191.

- 60 days fixed holidays per year
- Permanency following two years continuous fixed term contracts
- Salary conservation for 3 years

As a result of the no detriment clause lecturing staff at Forth Valley College will remain on 22 hours teaching and retain their current 65 days fixed holidays per year. Curriculum Managers holidays will increase from 55 days per year to 60 days per year.

All new staff from the 1 April 2019 will be placed on the new terms and conditions

Negotiations are still taking place on the other elements of the terms and conditions via the Lecturing Staff Technical Working Group, NJNC (National Joint Negotiation Committee) Policy Working Group (this includes EIS, Unison, GMB and Unite) and the Support Staff Terms and Conditions Working Group.

I chair all three working groups and although talks are at a very early discussion stage there remain challenges. Both the Lecturing Staff Technical Working Group and NJNC Policy Working Group failed to reach agreement on the terms and reference of the groups and until agreement is reached it will be difficult to move forward.

The Support Staff Terms and Conditions Working Group although not without its challenges have met on several occasions and is moving, albeit slowly, toward establishing recommendations to be considered at the NJNC.

### Key Challenges

EIS have submitted a pay claim for 2017/18 of £1000 flat cash consolidated for all lecturers and promoted lecturers within the sector. They have made it very clear that any offer that was not substantial and non-consolidated would be rejected. Therefore management's offer of a three year non-consolidated deal was rejected and EIS are now in dispute. Our current offer and the associated cost to the sector is as follows:

#### Current offer

1st April 2017 -	£425 Minimum net payment cost £0.29m, 0.1%
1st April 2018 -	£1,000 Minimum net payment cost £2.14m, 0.8%
1st April 2019 -	£1,400 Minimum net payment cost £1.87m, 0.7%

TOTAL minimum guaranteed increase over 3 years £2,825 costing £4.3m, 1.6%

Following discussion at the Employers Association Residential agreement was reached to enhance our offer while maintaining the element of non-consolidation. Our revised offer will be as follows:

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**Revised offer**

1st April 2017 -	£600 Minimum net payment cost to sector	£0.64m, 0.2%
1st April 2018 -	£1,000 Minimum net payment cost to sector	£2.14m, 0.8%
1st April 2019 -	£1,400 Minimum net payment cost to sector	£1.87m, 0.7%
TOTAL minimum guaranteed increase over 3 years £3,000 costing		£4.65m, 1.8%

The guaranteed minimum of £3,000 means that all lecturers will receive at least 7.5% additional pay over the 3 years with the overall average increase 10.8%.

Colleges, through the Employers Association, have agreed that the above pay offer is generous, affordable and sustainable for the sector however it does place the burden of the cost on a limited number of Colleges. There is agreement among the Colleges that the 2018-19 SFC funding allocation should recognise the differential cost impact and provide an element of differential funding.

The financial impact on Forth Valley College over the three year period will be

17/18	£10,151
18/19	£41,837
19/20	£27,037

Colleges also believe 2018-19 finances will be challenging as there appears to be limited additional funding excluding national bargaining. The above EIS pay offer will increase the sector costs in 2018-19 by approximately £2.5m.

Unison, GMB and Unite have submitted their pay claim for 2018/19 which are as follows:

With effect from 1 April 2018:

- £1,500 consolidated flat rate pay rise for all staff. (This builds on the previous practice and commitments on fair flat rate pay). This amount reflects the current projected inflation rate for the year of 3.3% plus an amount to begin the process of reversing the real terms cut to wages caused by previous pay awards through pay restoration.
- Application of the revised Living Wage rate in Scotland of £8.75 from 1 November 2017. Achievement of Living Wage accreditation for all colleges, (within a revised agreed timescale, as per the 2015/6 Pay agreement)
- Agreement of a consolidated package of 49 annual leave and public (fixed) holidays for all support staff currently on less (as per earlier NJNC commitments); 50 days in a leap year.
  - Two days unconsolidated in 2018/9 for those colleges already at that level.
  - One day unconsolidated and one day consolidated for all support staff on 48 days.
- Agreement on the 'scope' of the NJNC to cover the entire FE workforce, up to and including Principals, from this pay round.

The Management side have acknowledged receipt of this pay claim which will be discussed at the Employers Association on 12 March 2018.



## 5 Financial Implications

Colleges Scotland and SFC have agreed that the cost of implementing National Bargaining for the sector is around £100m over the next 3 years.

For Forth Valley College the cost of implementing national bargaining for teaching and promoted teaching staff will be:

16/17	April 17 to July 17	£101,285
17/18	August 17 to July 18	£405,142
18/19	August 18 to July 19	£810,284

The above figures exclude the cost of the 3 year pay offer detailed in Section 4 as this has not yet been agreed with EIS.

### Funding

It is clear that the cost of national bargaining is not affordable unless Scottish Government and the SFC provide the funding to cover this. While reassurance was given that SG will seek to allocate funds in the spending review the government has made it clear that the funding settlement announced in the budget does not cover costing of living increase.

On 12 June, SFC has confirmed £2m would be made available across the sector to cover part of the 2016/17 cost. Forth Valley College did not receive any of this funding.

### No detriment to existing staff terms and conditions

The sector norm for teaching contact hours is 24 hours whilst Forth Valley College have maintained 22 hours. In anticipation of the norm being adopted, Forth Valley College were budgeting the increase in teaching hours as an efficiency. Unfortunately, the agreement drawn up on the 19 May 2017, indicated there would be no detriment to existing staff terms and conditions for holidays, teaching contact hours and salary conservation. In real terms, this means that FVC cannot increase lecturers contact time or remove holidays. In the SFC and Colleges Scotland costing model, colleges moving from 24 to 23 hours, may be provided with increased funding for the additional staff they will require to employ to accommodate the reduction in teaching hours. Forth Valley College however, will not receive any additional funding as the status quo will be retained. Consequently, our hourly rate will be higher than colleges who drop to the 23 hour position as a result of the no detriment to existing staff.

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**6 Equalities**

**Assessment in Place? – Yes**

Equalities Assessment is being carried out as part of the National Bargaining Process

**If No, please explain why – Not required**

**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		x
Low		
Very Low		

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

The ongoing negotiations process may, depending on outcomes, have an adverse effect on the financial situation of the college.

A robust process for recruitment and selection and a review of vacant posts will help mitigate this

**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 – Industrial Action information and the implication of this be communicated widely to staff and key stakeholders**

**Paper Author – Andrew Lawson**

**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**

Staffing establishment review is an aspect of ensuring resource maximisation and control. This paper provides a view of the staffing at the College and is designed to be informative, highlighting key points of interest.

## **4. Context**

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. This cannot be looked at in isolation and other factors require consideration such as our equality duty, development needs and initiatives, and changing expectations. These can influence the establishment priorities along with day to day events including new appointments, secondments, 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.

Appendix 1 shows that the Staffing Establishment is robust and steady as reflected in the consistency of staffing levels and the structured approval process. This provides an overview of the establishment, key changes, absence details

Also included within this paper is a focus on Recruitment and Selection processes shown within Appendix 2.

## **5. Key Considerations**

Overall the staffing establishment figures are robust and show the college practices and procedures are working as required.

Within our recruitment and selection data in appendix 2, figures show over 60% of applicants are female primarily down to gender role divide. A discussion with our primary advertiser S1 jobs has taken place to review this to see if more male applicants can be encouraged.

Applicants disclosing disability is low at 8% however the college figures indicate 16% of staff have a disability suggesting staff are not confident in disclosing disabilities until after appointment. Updates to our recruitment page are underway.

**6. Financial Implications**

**Please detail the financial implications of this item** – There are implications for HR and finance budgets associated with staffing expenditure

**7. Equalities**

**Assessment in Place?** – Yes  No

**If No, please explain why** – This report outlines current staffing establishment levels. It does not propose any changes which might have an equalities impact

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

**8. 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 that staffing budgets are accrued for the year ahead and posts cannot be recruited without the approval of finance. Monthly monitoring by HR, RAF and ACF process is in place for justification and approval as well as the annual Curriculum Review of Celcat versus resources.

**Risk Owner** – Ralph Burns

**Action Owner** – Andrew Lawson

**9. 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** – Ralph Burns

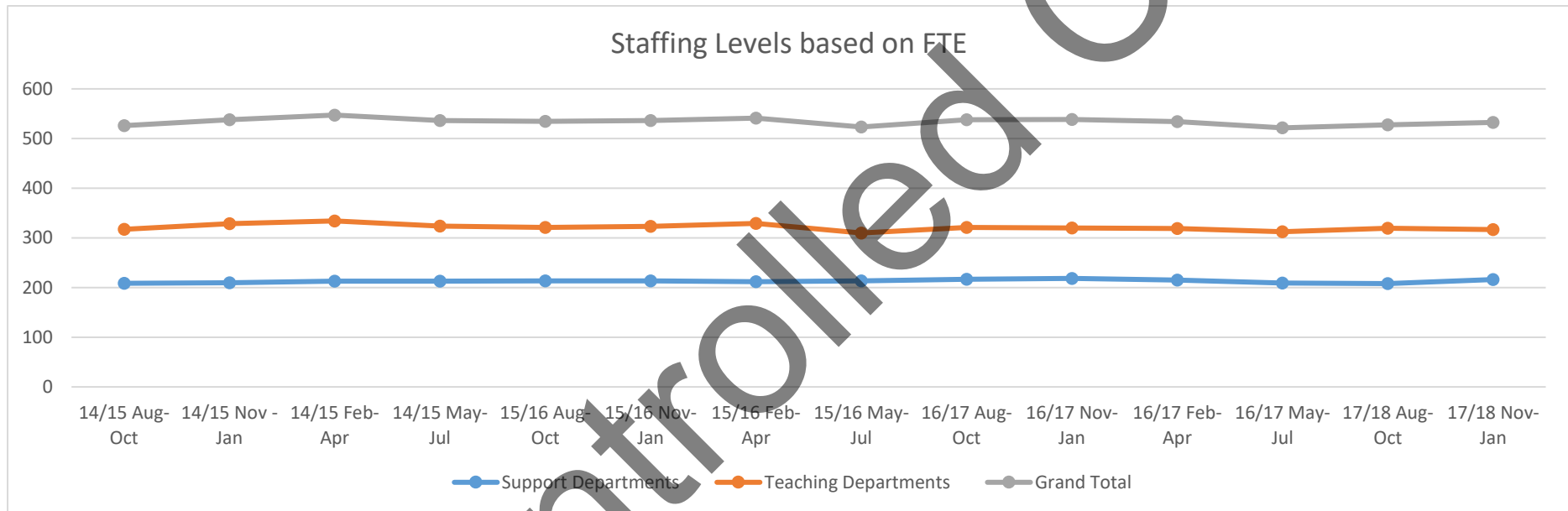
**SMT Owner** – Andrew Lawson

Appendix 1 Staffing Establishment Data

EXECUTIVE SUMMARY

HR MANAGEMENT INFORMATION - QUARTER 2 (Nov – Jan) 2017-18			
	Quarter	17/18	16/17
COLLEGE HEADCOUNT		641	628
COLLEGE FTE		532.69	534.24
% OF FTE BY CONTRACT TYPE	PERM	92.2%	91.8%
	TEMP	7.8%	8.2%
% OF FTE BY GENDER	MALE	43.4%	43.6%
	FEMALE	53.0%	52.9%
	PREFER NOT TO SAY	3.6%	3.5%
% OF FTE BY CONTACT TERM	FULL TIME	75.1%	78.2%
	PART TIME	24.9%	21.8%
% OF FTE BY DECLARED DISABILITY	YES	15.8%	16.1%
	NO	81.4%	77.7%
	PREFER NOT TO SAY	2.8%	6.2%
% OF FTE BY AGE BAND	16-24	1.2%	1.0%
	25-34	11.7%	12.7%
	35-44	25.9%	25.8%
	45-54	30.4%	30.1%
	55-64	27.9%	27.2%
	65+	2.9%	3.3%
EMPLOYEE TURNOVER (rolling year) Total number of leavers over period / Average total number employed over period x 100		9.6%	12.8%
EMPLOYEE RETENTION (rolling year) No of staff with service of one year or more/total no. of staff in post one year ago x 100		99.8%	96.7%
NEW STARTS (for quarter period)		18	7
LEAVERS (for quarter period)		9	9
% DAYS LOST DUE TO SICKNESS		3.48%	3.6%
APPROX COST		£122,678	£129,239

1. Establishment Overview



Staffing stability over the past three years and into the fourth is highlighted here. Fluctuations represent turnover, seasonal changes and new initiatives. The figures for this quarter indicates a FTE drop of 1% on the equivalent quarter in 16/17 however there has been an increased headcount of 1.5% indicating the ongoing trend of part time work. There is no one area responsible for this.

## 2. Key Changes

- The Department of Learning & Quality: Three x 0.2 FTE Learning & Teaching Mentors

To fulfil a commitment to implementing the Learning and Teaching Enhancement Programme to meet the requirement of the new Education Scotland quality framework the above posts were introduced. These were filled by existing lecturers to support the evaluation of learning and teaching.

- Access & Student Services: Mentor Co-ordinator

This post supports the Time 4 Me initiative which will work with young people across Forth Valley who face additional challenges and barriers in transitioning into further education. This will involve one to one mentoring to support young people towards their desired outcomes and aspirations.

- Information Systems: temporary GDPR Coordinator

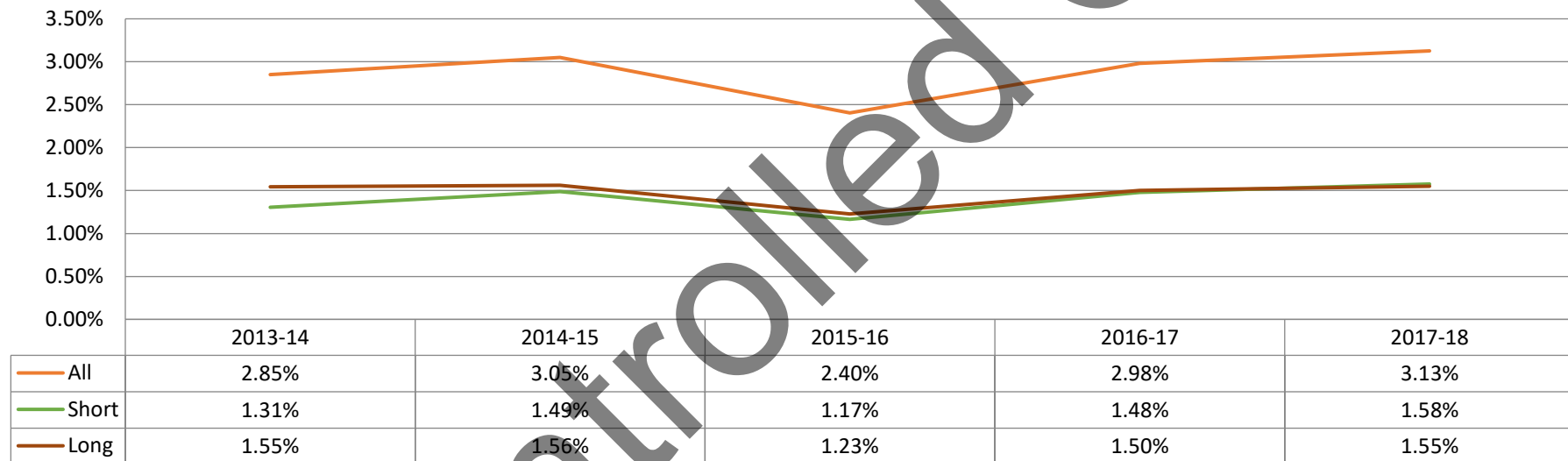
The introduction of the General Data Protection Regulations are complex and requires appropriately trained expertise to advise managers during the transition period.

- Business Development: increased Compex Commercial Trainer resource

As a consequence of the success of the commercial courses run within Business Development the resourcing needs of the department has expanded. This is testament to the good work and positive reputation of the college provision in Compex training.

3. Absence Trend

Yearly Overview



Absence figures indicate the percentage of total days lost based on FTE and the period 2017/18 represents the current year to date figures. There was a sharp rise in absence from the previous quarter with an increase in Bereavement and Flu within the quarter. For the first year the college has offered the flu jab to all staff and has been taken up by around 90 staff members to date. Stress/Mental Health continues to be significant (21% of absence in the quarter) and is the subject of a review to determine the best options for the college to support staff in this area.



## Appendix 2- Focus Topic: Recruitment and Selection

This appendix focuses on the key area of Recruitment and Selection. Not only does this have impact on college reputation, department operations and objective achievement but also has a direct relationship with the People Strategy.

Though a natural part of HR management is the review of policies and procedures, as part of the Workforce Planning Review this area received particular focus to ensure the infrastructure that supports the strategy is robust.

As a result, the procedure relating to Recruitment and Selection was reaffirmed, a review of administrative practices undertaken, and a comprehensive training programme for the recruiting manager developed. This is currently under test by selected recruiting managers.

To ensure the robustness and fairness of our recruitment practices to date, a comprehensive equalities analysis was undertaken. There were 1482 applications and 97 individuals hired for the test period - 2016/17.

Age Band	Applications	% Hired
16-24	6.68%	5.15%
25-34	26.18%	35.05%
35-44	27.87%	21.65%
45-54	23.89%	22.68%
55-64	10.05%	10.31%
65+	0.67%	2.06%
Prefer not to say	4.66%	3.09%

Low levels of applications for 16-24 is indicative of the highly specialised vacancies on offer

It is notable that there is a relatively even spread of applications and appointments over the age bands

Gender	Applications	% Hired
Female	61.61%	61.86%
Male	33.47%	35.05%
Other	0.20%	0%
Prefer not to say	4.72%	3.09%

Of note here is role specific gender divide. This is particularly prevalent in lower graded roles but also in administrative positions and in lecturer specialisms

Efforts to improve the level of male applicants within administrative and care related roles is needed

<b>Ethnicity/Race</b>	Applications	% Hired
White Other	17.07%	11.34%
White Scottish	72.06%	83.51%
Other	6.68%	2.06%
Prefer not to say	4.18%	3.09%

Non-white-Scottish applications are low and thus figures are difficult to analyse however this is relation to the local job market with individual jobs attracting higher numbers of non-white-Scottish applications

<b>Religion/Belief</b>	Applications	% Hired
Christianity	37.85%	41.24%
None	47.03%	47.42%
Other	2.83%	0%
Prefer not to say	12.28%	11.34%

Figures representing other religions are low which is indicative of the local population.

The college naturally finds sufficient suitable candidates from the local job market and this is unlikely to change in the short term however to ensure staff are aware of their requirements under the Equality Act training is being designed with a strong equalities focus and specific to recruitment and selection.

<b>Disabled</b>	Applications	% Hired
No	89.00%	89.69%
Yes	8.91%	6.19%
Prefer not to say	2.09%	4.12%

There is low disclosure of applicants with a disability though 16% of college employees record a disability.

One third of applicants who had declared a disability had applied for only three roles.

The college is a 'Disability Confident' employer guaranteeing an interview to any disabled candidate who meets the basic criteria and has a culture of acceptance as indicated by the high disclosure rates of current staff.

<b>Sexual Orientation</b>	Applications	% Hired
Gay/Bisexual	3.10%	3.09%
Heterosexual/Straight	88.19%	89.69%
Other	0.47%	0%
Prefer not to say	8.23%	7.22%

Figures on Gay/Bisexual as a percentage of the population vary between 2% and 4% (ONS 2016) thus our application process appears robust and fair.

Uncontrolled Copy