

Meeting	Human Resources Committee
Date and time	Thursday 11 March 2021 at 8.30 a.m.
Location	Microsoft Teams, via Calendar Link

Board Secretary
04 March 2021

AGENDA

Welcome and Apologies

Declarations of Interest

ITEMS FOR DECISION

1. **MINUTES**
Meeting of the Human Resources Committee held on 12 November 2020
2. **OUTSTANDING ACTIONS**
Action List

ITEMS FOR DISCUSSION

3. **WORKFORCE PLANNING**
BDO – Workforce Planning Audit
4. **VOLUNTARY SEVERANCE SCHEME – CONFIDENTIAL**
Report by HR Manager
5. **NATIONAL BARGAINING / JOB EVALUATION – CONFIDENTIAL**
Report by HR Manager
6. **HUMAN RESOURCES – QUARTER 2 REPORT 2020/21**
Report by HR Manager
7. **STAFF SURVEY REPORT**
Report by HR Manager
8. **DISCUSSION - HR COMMITTEE – FOCUS ON YEAR AHEAD**

ITEMS FOR NOTING

9. EMPLOYEE RELATIONS

- a. Minutes of the Meeting of the JCC – 27 October 2020
- b. Minutes of the Meeting of the JCC – 08 December 2020
- c. Minutes of the Meeting of the JCC – 09 February 2021
- d. Minutes of the Meeting of the PDC – 29 October 2020

10. AOCB

11. DATE OF NEXT MEETING – 27 May 2021

If any member wishes to add an item of business to the Agenda, please inform the Chair and the Board Secretary as soon as possible. Additional items of business will only be considered for inclusion in the agenda in advance of the start of the meeting.



Board of Management

MINUTES of the MEETING of the HUMAN RESOURCES COMMITTEE held via Microsoft Teams on Thursday 12 November 2020

PRESENT: Innis Montgomery, Chris O'Neil, Andy Gray, Leanne MacKenzie, John Wilson, Gillian Galloway
CHAIR: Innis Montgomery
APOLOGIES: None
ATTENDING: HR Manager
Board Secretary

There were no declarations of interest.

The Principal advised the Committee that he would have to exit the meeting early and highlighted to members that he would be meeting with the Director of Finance and the Chair of the F&GP Committee on 13 November 2020 to discuss the possible conclusion of the FRP.

1. MINUTES

Decision: The Meeting of the Human Resources Committee held on 04 June 2020 were **AGREED** as a correct record and were **APPROVED** pending a spelling error within item 10 being rectified.

2. OUTSTANDING ACTIONS

Decision: It was **AGREED** that the first and last items on the outstanding actions list could be removed from the list.

- CipHR Contract – the HR Manager advised that further discussions with the Finance Director would take place with regards the contract and the options available to us.
- Workforce Planning – This will be discussed within the agenda.
- National Bargaining – This will be discussed within the agenda.
- Induction – the Board Secretary is progressing this matter.

3. POLICY FOR APPROVAL – STAFF DISCIPLINARY POLICY

The HR Manager advised the Committee that the changes to the policy were agreed by the Scrutiny Panel in May 2020 and had been subject to staff consultation in June 2020. The policy was then further reviewed by the JCC in August 2020 and by the SMT in September 2020.

Decision: The HR Committee **AGREED** the changes to the Staff Disciplinary Policy, which will now go to the Board of Management meeting for final approval.

4. **VOLUNTARY SEVERANCE SCHEME - CONFIDENTIAL**

The HR Manager spoke to her report with the Committee noting that VSS applications are continuing to be received however, the numbers of applications are reducing.

The Committee noted that applications for VSS have increased to 31 (19 support and 12 academic) which along with the alternatives to redundancy decisions has resulted in £607k recurrent savings. This along with further expected savings of £250K means that we will have total expected savings of circa £860K.

The HR Manager reported on the areas which remain at risk.

The Committee enquired as to the wellbeing of staff who have been furloughed for a lengthy period of time and were advised that staff are being furloughed on a flexible and rotational basis.

5. **NATIONAL BARGAINING/JOB EVALUATION – CONFIDENTIAL**

The HR Manager advised the Committee that the formal agreement reached on pay for lecturing staff from 1st September 2020 – 31st August 2021 was a consolidated award of 2% for all unpromoted and promoted lecturer scale points. The Committee noted that the full related circular with regards this could be found within the Committee agenda and papers and that the backdated award to 1st September 2020 would be seen within the November payroll.

The Committee enquired whether this increase would have an effect on the VSS scheme. The HR Manager confirmed that employees whose applications for VS had been accepted but had not yet left the College, would have their agreements revised in light of this increase. However, the Committee noted that there remains sufficient funds within the VSS due to success of variations to contracts and alternatives to redundancies.

With regards Job Evaluation, the HR Manager advised the Committee that the first stage of scoring will soon conclude and that the second stage of scoring has now commenced.

The Committee enquired as to the potential impact of this evaluation and were advised that whilst salary increases should remain affordable there is the probability that these increases will not be covered by SFC funding and it will therefore be added to the risk register as a potential risk.

Chris O'Neill left the meeting.

6. **HUMAN RESOURCES – QUARTER 1 REPORT – 2020/21**

Item 01

The HR Manager highlighted the following aspects of her report to the Committee:

- Staff turnover for core staff only for Q1 was 5.3%; an increase of 4.3% compared to the previous quarter and a 4.4% increase when compared with Q1 of the previous year.
- Staff turnover including fixed term contracts for Q1 was 6.5%; an increase of 3.9% from the previous quarter and a 0.7% increase when compared with Q1 of the previous year.
- For Q1 the average headcount was 414.
- In Q1 the average FTE was 340.1
- In Q1 there were 27 leavers:
 - 5 End of Fixed Term Contracts
 - 6 Resignations
 - 2 Retirements
 - 14 VSS.
- Two of the resignations received were from employees who worked within an 'at risk' area and the staff members have found alternative employment.
- Backfill has been or will be sought for 3 of the 27 leavers.
- 20 members of staff are currently furloughed which is an average FTE of 15.5. This has resulted in a saving of £42,957.47.
- Absence has increased 0.7% from the previous quarter. However, this is a decrease from all Q1 figures for the past 3 years. 67.9% of absence was attributable to support staff and 32.1% to academic staff. In comparison to the previous quarter, this is an increase of 24.1% for support staff absence and a decrease of 24.1% for academic staff. Referrals to Occupational Health were 10.

With regards the PDR the HR Manager advised that these have now been included within this report and that they can be broken down further by Department if required and that they will now be tracked per quarter within all future reports.

The Committee noted that SMT are still looking at how the potential UHI PDR process would sit within our current framework.

The Committee was advised that the following controls have been put in place with regards PDR:

- PDR Compliance Report
- Dates are diarised
- HR assistance is provided to support and guide staff through the process.
- PDR completion is tracked and reported on and that this is done at a departmental level.

The Committee discussed the report and enquired as to how any potential reduction of staff may be impacting on the student experience. It was noted that this was an ongoing piece of work and that the HR Dept. continue to collect data from the staff survey. The Committee noted that the staff survey had closed and that the HR Team are completing a high-level analysis of feedback received. The Committee was advised that a staff wellbeing group was in place and from this

wellbeing newsletters are being circulated and staff were given two digital detox days in October 2020.

7. HALF YEAR EMPLOYMENT LAW UPDATE

The HR Manager advised that there have been a number of changes surrounding Covid-19 since this paper was produced and that the flexible furlough scheme has now been extended until March 21.

With regards, Public Sector Exit Payments the Committee noted that these are to be capped at £95,000. This change allows these payments to be recovered from highly paid public servants moving between jobs.

8. REVIEW OF POLICIES TIMETABLE/PROCESS IN RESPECT OF HR POLICIES

The HR Manager advised the Committee that her report provides an update regarding the review of policies and their timetable in respect of HR policies.

9. EMPLOYEE RELATIONS

The Committee noted the following minutes of meetings:

- Minutes of the Meeting of the JCC – 18 August 2020

10. DATE OF NEXT MEETING – Thursday 11 March 2021 at 08.30am.

Signed by the Chair: _____

Date: _____

Outstanding Actions

Item 02

4 June 2020				
CipHR Contract	Committee to look at this issue in depth at the September meeting with a view to agreeing which option to take. CIPHR Contract extended to May 2023.			Sept 20
17 September 2020				
Workforce Planning	The HR Manager to prepare a paper on the Workforce Plan for the November meeting. This will include how the plan corresponds with the FRP and the TSR, the possible alignment of the HR service with NHC and the methodology which may be used to review the Curriculum Plan.	HR Manager		Nov 20.
National Bargaining/Job Evaluation	To be included within Risk Register as either a separate risk or within an existing risk.	HR Manager		Nov 20.
Induction Training	The Board Secretary is to ensure that all new Board Members have received their induction.	Board Sec		Nov 20.

INVERNESS COLLEGE

INTERNAL AUDIT REPORT

WORKFORCE PLANNING
OCTOBER 2020

LEVEL OF ASSURANCE	
Design	Operational Effectiveness
Moderate	Moderate



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DISTRIBUTION


Nicola Quinn	HR Manager
Fiona Gunn	Professional Development Manager
Roddy Ferrier	Director of Finance
Members of the	Audit Committee


REPORT STATUS LIST

Auditors:	Abigail McGurn
Dates work performed:	12/10/20 - 30/10/20
Draft report issued:	19/11/20
Final report issued:	09/02/2021




EXECUTIVE SUMMARY

LEVEL OF ASSURANCE: (SEE APPENDIX I FOR DEFINITIONS)

Design  Generally a sound system of internal control designed to achieve system objectives with some exceptions.

Effectiveness  Evidence of non-compliance with some controls, that may put some of the system objectives at risk.

SUMMARY OF RECOMMENDATIONS: (SEE APPENDIX I)

High		0
Medium		3
Low		3

TOTAL NUMBER OF RECOMMENDATIONS: 6

BACKGROUND:

It was agreed with management and the Audit Committee within the 2020-21 internal audit plan that Internal Audit would carry out a review of the workforce planning arrangements in place within Inverness College (the College).

The College has a draft Workforce Plan for 2020-2023. The Plan includes: analysis of prior and current year staff profile, planned teacher training, analysis of staff recruitment and retention and consideration of future workforce demand based on Skills Development Scotland's Regional Assessment.

The Professional Development and Review (PDR) Manager Guidelines require that PDR meetings are held at least annually between staff and their managers. The purpose of the meetings are to review performance against objectives, agree individual objectives for the forthcoming academic year, or agreed period of time and review staff development undertaken and future staff development requests. Completed PDR Meeting forms are uploaded to the employee's records on Ciphre the HR database system used by the College.

Training or qualification requests are submitted by the staff member's manager to the Professional Development Manager (PDM) for approval. PD1 Forms must be completed. The Development Flow Chart specifies that if the application type is for a Single Development Event the PDM reviews and approves the application. If the application type is for a Course of Further Study, the PDM along with members of SMT considers the business justification and the cost in the approval decision. In 2019/20, approximately 130 individual PD1 development requests were approved.

The College's annual Curriculum Plan outlines the courses which are going to be run in the year and the number of lecturers which are required to deliver the courses. This feeds into the Workforce Plan.

Staff expenditure increased in 2019/20 to £16.9M, a £1.4M increase from 2018/19 as a result of salary increases and redundancy payments. This was despite staff numbers decreasing from 374 to 364. Spend on agency staff has decreased over the last three years from £190k to £50k in 2019/20. The College spent £165k in 2019/10 on staff development, this was well within the budget of £195k. The Workforce Plan details how the staff budget will fall year on year for the duration of the plan to 2023.

The Staff Resource Panel meet fortnightly to discuss any and all changes to staff resources. Where additional staff are required a Standard Business Case form must be submitted to the Staff Resource Panel for approval.

SCOPE AND APPROACH:

The scope of the review was to assess:

- Inverness College has an effective workforce plan and a resourcing strategy which aligns with the Corporate/Strategic Plan objectives;
- Inverness College has effectively evaluated the skills and teams required to deliver its priorities;
- There is sufficient capacity and capability within Inverness College to deliver its immediate operational and strategic priorities;
- Inverness College accurately predicts and efficiently sources requirements for agency staff and specialist input;
- Inverness College has robust development plans in place to address skills/resource gaps; and
- Inverness College has taken a structured approach to identifying key (critical) roles within the College.

Our approach was to conduct interviews to establish the controls in operation for each of our areas of audit work. We evaluated these controls to identify whether they adequately address the risks. We then sought to gain evidence of the satisfactory operation of the controls to verify the effectiveness of the control through use of a range of tools and techniques.

A de-brief meeting was held before completing the review to discuss findings and initial recommendations.

GOOD PRACTICE:

We noted a number of areas of good practice being demonstrated at the organisation in relation to workforce planning. These include:

- The Workforce Plan is aligned to the Strategic Plan 2017-2020;
 - There has been a steady fall in recent years of expenditure on agency staff;
 - In the Workforce Plan, the College has considered forecast industry demand and the impact this may have on their workforce; and
 - Any changes to staffing are approved by the Staff Resources Panel.
-

KEY FINDINGS:

Notwithstanding the areas of good practice noted above, we have noted areas where further improvement could be made to workforce planning, summarised below:

- **Accurate Training Records:** Not all training records and certifications of staff are held in a central location. CiphR does not have the capabilities to monitor training needs. Specialised training and certifications are monitored by Curriculum Managers due to a lack of capacity and specialist knowledge of requirements in the Development Team. Skills gap analysis cannot be conducted to feed the Learning Plan.
- **Succession Planning:** The College has not identified critical roles and does not have a documented succession plan;
- **Personal Development and Review Meetings:** PDR meetings should take place at least once a year and the form should be uploaded onto CiphR. A sample of five employees were tested. For three no PDR forms could be provided and for the remaining two, a PDR form was uploaded to CiphR however both were completed in 2018.
- **Professional Learning and Development Request Form (PD1):** A sample of two PD1 Forms were reviewed and both did not have the Professional Development Authorisation section completed.
- **Staff Development Policy & Procedures:** The Staff Development Policy was last reviewed in 2015 and the Staff Development Procedure last reviewed in 2010, both are overdue review.
- **The Workforce Plan:** The Workforce Plan, currently in draft, does not have an owner nor does it document review stages or how check-ins will be conducted.

CONCLUSION:


We are able to provide moderate assurance over the design and operational effectiveness of the controls and processes in place in relation to workforce planning.

OUR TESTING DID NOT IDENTIFY ANY CONCERNS SURROUNDING THE CONTROLS IN PLACE TO MITIGATE THE FOLLOWING RISKS:

- ✓ Inverness College does not have an effective workforce plan and a resourcing strategy which aligns with the Corporate/Strategic Plan objectives.
- ✓ There is insufficient capacity and capability within Inverness College to deliver its immediate operational and strategic priorities.
- ✓ Inverness College does not accurately predict and efficiently source requirements for agency staff and specialist input.
- ✓ Inverness College does not have robust development plans in place to address skills/resource gaps.

DETAILED FINDINGS

RISK: INVERNESS COLLEGE HAS NOT EFFECTIVELY EVALUATED THE SKILLS AND TEAMS REQUIRED TO DELIVER ITS PRIORITIES.

Ref	Sig.	Finding
1		<p>Accurate Training Records</p> <p>It is important to have accurate records of staff training, qualifications and certifications to understand the level of competency across the organisation.</p> <p>Not all training records and certifications of staff are held in a central location. CiphR does not have the capabilities to monitor training needs. Specialised training and certifications are monitored by Curriculum Managers due to a lack of capacity and specialist knowledge of requirements in the Development Team. As a result skills gap analysis cannot be conducted to feed the Learning Plan.</p> <p>There is a risk the College does not have an accurate record of completed and outstanding training.</p>

RECOMMENDATION:

We recommend the College considers implementing a learning management system, which will allow training records and certifications to be held centrally and will allow skills gaps analysis to be completed which can inform the learning plan.


MANAGEMENT RESPONSE:

We continue to work with staff and managers to ensure that all qualifications and certificates are forwarded to the PD team for accurate imputing to the system. We are currently exploring add-ons to our HR system which would allow skills gaps analysis to be completed on an organisation wide basis. Meanwhile, managers continue to undertake skills gap analysis for their areas as part of their overall management responsibilities.

Responsible Officer: Professional Development Manager

Implementation Date: HR system review during academic year 2021/22

RISK: INVERNESS HAS NOT TAKEN A STRUCTURED APPROACH TO IDENTIFYING KEY (CRITICAL) ROLES WITHIN THE COLLEGE.

Ref	Sig.	Finding
2		<p>Succession Planning</p> <p>It is good practice to identify critical roles and have a succession plan to support a smooth transition in the event a key member of staff was to become unavailable or leave.</p> <p>The College has not identified critical roles and does not have a documented succession plan.</p> <p>There is a risk the College loses key skills and experience if a key member of staff were to leave.</p>

RECOMMENDATION:

We recommend identifying critical roles and preparing a documented succession plan.

MANAGEMENT RESPONSE:

Whilst we do not necessarily have a 'list' of critical roles – I must re-iterate some of the comments made:


- We review our staffing in line with our annual curriculum plan and set our annual staffing budget accordingly. Anticipating future skill need / development of skill sets to support future curriculum developments.
- Managers continually monitor staff numbers to ensure that sufficient resources are attached to each department to ensure curriculum and support service levels can be met.
- Skills gaps are filled either through redeployment of staff from other areas of the College or, where necessary, through external recruitment in line with the budget.
- A review and approval process has been established to ensure that appointments, both internal and external, are managed in line with available budgets, curriculum and service demand and strategic objectives.
- Development opportunities are made available for staff internally in preparation for promoted posts when vacancies become available. Staff have been provided with learning and development support to help them achieve that. For example, through trainee roles/programmes, CMI training for new line managers and those aspiring to become, and secondment opportunities.
- Within the Curriculum teams, Programme Co-ordinators roles were created several years ago which allow lecturers to be appointed on a fixed term basis allowing them to gain experience in reviewing quality of programmes and timetable management.
- Academic Management/Schools Structure - over the past years we have also implemented a number of workforce structural changes including a transformation of our academic middle management structure and moving our curriculum groupings into wider 'schools' structure. For example, appointments to the Depute Head of School posts were made.
- Although recruitment to specialist roles is challenging in the Highlands, the College has implemented a number of initiatives to develop some resilience. Processes are in place which ensure that critical positions are filled to ensure that staff resources are available to meet commitments. Managers continually monitor staff numbers to ensure that sufficient resources are attached to each department to ensure curriculum and support service levels can be met. We continue to use development opportunities to mitigate risk wherever possible. Attraction campaigns are enhanced and reviewed for hard to fill posts.
- Variable supply staff are used to address resource gaps in the short term with the pool of variable staff reviewed annually in conjunction with dept mgrs. to ensure that skills are available to meet requirements.
- Profiling of staff, in terms of age, qualifications and skills, is performed along with access to pension funds, and known retirements.
- A personal skills framework is in place which forms part of every staff member's annual PDR process.

A documented succession plan procedure as outlined above will be formalised.

Responsible HR Manager
Officer:

Implementation April 2021
Date:

RISK: INVERNESS COLLEGE HAS NOT EFFECTIVELY EVALUATED THE SKILLS AND TEAMS REQUIRED TO DELIVER ITS PRIORITIES.

Ref	Sig.	Finding
3		<p>Professional Development and Review Meetings</p> <p>The Professional Development and Review (PDR) Manager Guidelines state employees should attend a meeting at least once during each year and the PDR form should be uploaded to Ciph.</p> <p>A sample of five employees were tested:</p> <ul style="list-style-type: none"> • For three, no PDR forms could be provided • For two, a PDR form was uploaded to Ciph however both were completed in 2018 <p>PDR meetings are not being held in line with policy. There is a risk that development needs are not identified and progressed.</p>

RECOMMENDATION:

We recommend management are reminded of the importance of PDR meetings. Completion of meetings and completion of the PDR forms should be monitored.


MANAGEMENT RESPONSE:

Email reminders are sent monthly from the HR team to all line managers to track, monitor and record the completion rates of PDR's per department.

Responsible Officer: HR Manager

Implementation Date: Currently in place.

RISK: INVERNESS COLLEGE HAS NOT EFFECTIVELY EVALUATED THE SKILLS AND TEAMS REQUIRED TO DELIVER ITS PRIORITIES.

Ref	Sig.	Finding
4		<p>Professional Learning and Development Request Form (PD1) Managers complete and submit PD1 forms to the Professional Development Manager for approval when they have a training or qualification request for a member of staff.</p> <p>A sample of two PD1 Forms were reviewed and both did not have the Professional Development Authorisation section completed. The outcome was communicated to the manager via email.</p> <p>There is a risk approval of training and qualification requests cannot be evidenced.</p>

RECOMMENDATION:

We recommend the Professional Development Authorisation section is completed in PD1 forms.

MANAGEMENT RESPONSE:

Date of approval, names of approving managers and budget code information now included on all PD1 forms.

Responsible Officer: Professional Development Manager

Implementation Date: Currently in place

RISK: INVERNESS COLLEGE HAS NOT EFFECTIVELY EVALUATED THE SKILLS AND TEAMS REQUIRED TO DELIVER ITS PRIORITIES.

Ref	Sig.	Finding
5		<p>Staff Development Policies & Procedures Policies should be reviewed on a regular basis to ensure policies reflect current expected practice.</p> <p>The Staff Development Policy was last reviewed by the Board of Management in 2015 and was due to be reviewed in March 2018. The Staff Development Procedure was last reviewed by the Board of Management in 2010 and was due to be reviewed in September 2013 with an extension to September 2014.</p> <p>We recognise UHI is currently in the process of developing a Staff Development Policy and Procedure that will be used across all campuses including Inverness College, adopting a Single Policy Environment.</p> <p>There is a risk policies become outdated and do not reflect current practice.</p>

RECOMMENDATION:

We recommend the College adopts UHI's Staff Development Policy and Procedure and these are reviewed on a regular basis.


MANAGEMENT RESPONSE:

The UHI Staff Development Policy and Procedures will be adopted and communicated to staff through the Professional Development committee and other channels as soon as it becomes available.

Responsible Officer: Professional Development Manager

Implementation Date: As soon as UHI release the new policy and procedure, anticipated before the end of 2020/21 academic year.

RISK: INVERNESS COLLEGE DOES NOT HAVE AN EFFECTIVE WORKFORCE PLAN AND A RESOURCING STRATEGY WHICH ALIGNS WITH THE CORPORATE/STRATEGIC PLAN OBJECTIVES.

Ref	Sig.	Finding
6		<p>The Workforce Plan It is important that clear workforce plans are in place and appropriately reviewed and approved.</p> <p>The Workforce Plan 2020-23 is currently a draft version and there are sections which are still to be completed: Section 5, Recruitment and Retention of Workforce and Section 6, Succession Planning.</p> <p>The document does not document its owner or the review process.</p> <p>There is a risk that the College does not have an effective Workforce Plan.</p>

RECOMMENDATION:

We recommend the Workforce Plan is completed and is reviewed and approved on a timely basis.

The document owner, reviewer and approver and when it is next due for review should also be documented, and future reviews timetabled to ensure the plan is refreshed for the beginning of the years to which it relates.

MANAGEMENT RESPONSE:

The Workforce Plan 2020-23 is currently a draft version and the outstanding sections to be completed are Section 5, Recruitment and Retention of Workforce and Section 6, Succession Planning. The HR Manager will liaise with SMT to finalise, including documenting its owner and the review process.

Responsible Officer: HR Manager and SMT

Implementation Date: 31 June 2021





STAFF INTERVIEWED

BDO LLP APPRECIATES THE TIME PROVIDED BY ALL THE INDIVIDUALS INVOLVED IN THIS REVIEW AND WOULD LIKE TO THANK THEM FOR THEIR ASSISTANCE AND COOPERATION.




Nicola Quinn
Fiona Gunn
Roddy Henry

HR Manager
Professional Development Manager
Deputy Principal

APPENDIX I - DEFINITIONS

LEVEL OF ASSURANCE	DESIGN OF INTERNAL CONTROL FRAMEWORK		OPERATIONAL EFFECTIVENESS OF CONTROLS	
	FINDINGS FROM REVIEW	DESIGN OPINION	FINDINGS FROM REVIEW	EFFECTIVENESS OPINION
Substantial 	Appropriate procedures and controls in place to mitigate the key risks.	There is a sound system of internal control designed to achieve system objectives.	No, or only minor, exceptions found in testing of the procedures and controls.	The controls that are in place are being consistently applied.
Moderate 	In the main there are appropriate procedures and controls in place to mitigate the key risks reviewed albeit with some that are not fully effective.	Generally a sound system of internal control designed to achieve system objectives with some exceptions.	A small number of exceptions found in testing of the procedures and controls.	Evidence of non compliance with some controls, that may put some of the system objectives at risk.
Limited 	A number of significant gaps identified in the procedures and controls in key areas. Where practical, efforts should be made to address in-year.	System of internal controls is weakened with system objectives at risk of not being achieved.	A number of reoccurring exceptions found in testing of the procedures and controls. Where practical, efforts should be made to address in-year.	Non-compliance with key procedures and controls places the system objectives at risk.
No 	For all risk areas there are significant gaps in the procedures and controls. Failure to address in-year affects the quality of the organisation's overall internal control framework.	Poor system of internal control.	Due to absence of effective controls and procedures, no reliance can be placed on their operation. Failure to address in-year affects the quality of the organisation's overall internal control framework.	Non compliance and/or compliance with inadequate controls.

RECOMMENDATION SIGNIFICANCE

High 	A weakness where there is substantial risk of loss, fraud, impropriety, poor value for money, or failure to achieve organisational objectives. Such risk could lead to an adverse impact on the business. Remedial action must be taken urgently.
Medium 	A weakness in control which, although not fundamental, relates to shortcomings which expose individual business systems to a less immediate level of threatening risk or poor value for money. Such a risk could impact on operational objectives and should be of concern to senior management and requires prompt specific action.
Low 	Areas that individually have no significant impact, but where management would benefit from improved controls and/or have the opportunity to achieve greater effectiveness and/or efficiency.

APPENDIX II - TERMS OF REFERENCE

PURPOSE OF REVIEW:

The purpose of this review is to provide assurance to management and the Audit Committee that effective processes are in place in relation to workforce planning.

KEY RISKS:

Inverness College does not have an effective workforce plan and a resourcing strategy which aligns with the Corporate/Strategic Plan objectives.

Inverness College has not effectively evaluated the skills and teams required to deliver its priorities.

There is insufficient capacity and capability within Inverness College to deliver its immediate operational and strategic priorities.

Inverness College does not accurately predict and efficiently source requirements for agency staff and specialist input.

Inverness College does not have robust development plans in place to address skills/resource gaps.

Inverness has not taken a structured approach to identifying key (critical) roles within the College.

SCOPE OF REVIEW:

The scope of the review will be to assess whether:

- Inverness College has an effective workforce plan and a resourcing strategy which aligns with the Corporate/Strategic Plan objectives;
- Inverness College has effectively evaluated the skills and teams required to deliver its priorities;
- There is sufficient capacity and capability within Inverness College to deliver its immediate operational and strategic priorities;
- Inverness College accurately predicts and efficiently sources requirements for agency staff and specialist input;
- Inverness College has robust development plans in place to address skills/resource gaps; and
- Inverness College has taken a structured approach to identifying key (critical) roles within the College.

However, Internal Audit will bring to the attention of management any points relating to other areas that come to their attention during the course of the audit. We assume for the purposes of estimating the number of days of audit work that there is one control environment, and that we will be providing assurance over controls in this environment. If this is not the case, our estimate of audit days may not be accurate.

APPROACH:

Our approach will be to conduct interviews to establish the controls in operation for each of our areas of audit work. We will then seek documentary evidence that these controls are designed as described. We will evaluate these controls to identify whether they adequately address the risks.

We will seek to gain evidence of the satisfactory operation of the controls to verify the effectiveness of the control through use of a range of tools and techniques.

During the course of the review we will keep management informed of any issues which arise as a result of our testing.

A de-brief meeting will be undertaken before completing the review on-site to discuss findings and initial recommendations.

FOR MORE INFORMATION:

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Subject/Title:	Voluntary Severance Scheme
Author: [Name and Job title]	Nicola Quinn, HR Manager
Meeting:	Human Resources Committee
Meeting Date:	11 March 2021
Date Paper prepared:	02 March 2021
Brief Summary of the paper:	The report sets out progress of the College's Voluntary Severance Scheme.
Action requested: [Approval, recommendation, discussion, noting]	Noting
Link to Strategy: Please highlight how the paper links to, or assists with:: <ul style="list-style-type: none"> • compliance • partnership services • risk management • strategic plan • new opportunity/change 	
Resource implications:	Yes
Risk implications:	Yes If yes, please specify: Operational:
Equality and Diversity implications:	
Consultation: [staff, students, UHI & Partners, External] and provide detail	

ITEM 04

Status – [Confidential/Non confidential]	Confidential		
Freedom of Information Can this paper be included in “open” business* [Yes/No]	No		
*If a paper should not be included within “open” business, please highlight below the reason.			
Its disclosure would substantially prejudice a programme of research (S27)		Its disclosure would substantially prejudice the effective conduct of public affairs (S30)	
Its disclosure would substantially prejudice the commercial interests of any person or organisation (S33)		Its disclosure would constitute a breach of confidence actionable in court (S36)	
Its disclosure would constitute a breach of the Data Protection Act (S38)		Other (please give further details)	
For how long must the paper be withheld? (express either as the time which needs to pass or a condition which needs to be met.)			

Further guidance on application of the exclusions from Freedom of Information legislation is available via

<http://www.itspublicknowledge.info/ScottishPublicAuthorities/ScottishPublicAuthorities.asp> and

http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf

HR Committee

Subject/Title:	National Bargaining
Author: [Name and Job title]	Nicola Quinn, HR Manager
Meeting:	Human Resources Committee
Meeting Date:	11 March 2021
Date Paper prepared:	03 March 2020
Brief Summary of the paper:	To report on the latest developments in pay and conditions collective bargaining.
Action requested: [Approval, recommendation, discussion, noting]	Discussion
Link to Strategy: Please highlight how the paper links to, or assists with:: <ul style="list-style-type: none"> • compliance • partnership services • risk management • strategic plan • new opportunity/change 	
Resource implications:	Yes / No If yes, please specify:
Risk implications:	Yes / No If yes, please specify: Operational: Organisational:
Equality and Diversity implications:	Yes/No If yes, please specify:
Consultation: [staff, students, UHI & Partners, External] and provide detail	

ITEM 5

Status – [Confidential/Non confidential]	Confidential		
Freedom of Information Can this paper be included in “open” business* [Yes/No]	NO		
*If a paper should not be included within “open” business, please highlight below the reason.			
Its disclosure would substantially prejudice a programme of research (S27)		Its disclosure would substantially prejudice the effective conduct of public affairs (S30)	
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http://www.itspublicknowledge.info/web/FILES/Public_Interest_Test.pdf

Board of Management

Subject/Title:	Human Resources Report Quarter 2 2020-21
Author: [Name and Job title]	Nicola Quinn, Human Resources Manager
Meeting:	Human Resources Committee
Meeting Date:	11 March 2021
Date Paper prepared:	18 February 2021
Brief Summary of the paper:	This report presents qualitative analysis of key HR measures surrounding turnover and absence.
Action requested: [Approval, recommendation, discussion, noting]	Discussion
Link to Strategy: Please highlight how the paper links to, or assists with: <ul style="list-style-type: none"> • compliance • partnership services • risk management • strategic plan • new opportunity/change 	Enhancing Performance
Resource implications:	No If yes, please specify:
Risk implications:	Yes / No If yes, please specify: Operational: Organisational:
Equality and Diversity implications:	Yes/No If yes, please specify:
Consultation: [staff, students, UHI & Partners, External] and provide detail	SMT

ITEM 6

Status – [Confidential/Non confidential]	Non-confidential		
Freedom of Information Can this paper be included in “open” business* [Yes/No]	Yes		
*If a paper should not be included within “open” business, please highlight below the reason.			
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Human Resources Report Quarter 2 2020-21

Executive summary

The Human Resources Committee is asked to discuss the report.

Background information

This report presents quantitative and qualitative analysis of key HR measures surrounding FTE, turnover and absence.

Main body of information

1. Turnover

Staff turnover for core staff only (excluding fixed-term contracts) in Q2 2020/21 was 2.9%, a decrease of 2.4% compared with the previous quarter (5.3% in Q1 2020/21) and an increase when compared with Q2 in 2019/20 (2.3%).

Total staff turnover, including fixed-term contracts coming to an end in Q2 2020/21, was 3.8%, a 2.7% decrease from the previous quarter (6.5% in Q1 2020/21) and a 0.4% increase compared with Q2 in 2020/21 (3.4%).

2. Headcount and FTE

In Q2 2020/21, Average Headcount was 396.5; 379.5 being permanent employees, and 17.0 being on fixed-term contracts. Of these fixed-term contracts, 3 began in Q2.

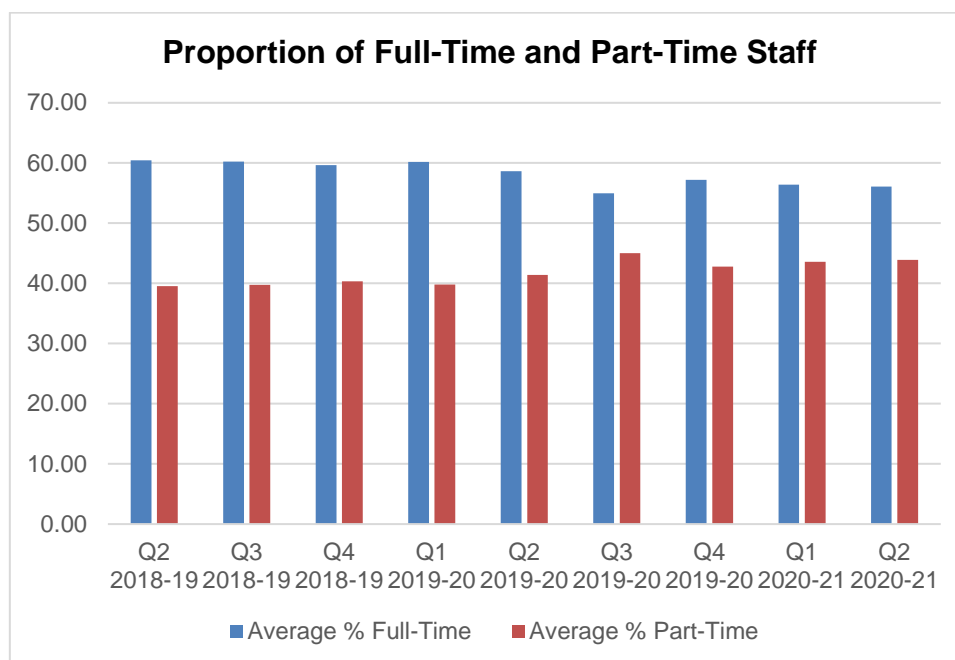
Of the fixed-term contracts remaining at the end of Q2 2020/21, contract end dates are as follows:

Quarter FTC ending	FTE	Headcount
2020-21 Q3	2.50	4
2020-21 Q4	5.92	8
2021-22 Q4	1.00	1
2022-23 Q1	0.40	1
2022-23 Q2	1.20	2
Total	11.02	16

In Q2 2020/21, average FTE was 325.9, 313.4 FTE being permanent and 12.5 FTE being fixed-term employees. In comparison to Q1 2020/21, this is a decrease of 14.2 FTE, 11.3 FTE being permanent and 2.9 FTE being fixed-term employees.

ITEM 6

The proportion of full-time staff in Q2 2020/21 was 56.1% compared to 43.9% part-time which is comparable to previous quarters:



Summary of actual supply FTE in Q2 2020/21 has increased compared with previous quarters as shown in the table below (sickness cover was not separated from planned activity until Q2 2019/20):

(QTR ACTUALS)	Q2 2020/21	Q1 2020/21	Q4 2019/20	Q3 2019/20	Q2 2019/20	Q1 2019/20
Supply Teaching - Planned Activity	3.2	1.5	4.5	6.8	5.7	3.9
Supply Teaching - Sickness Cover	0.3	0.0	0.1	0	0.2	-
Supply Support	0.7	1.2	1.0	1.5	1.4	1.5
Supply Assessors	0.3	0.5	1.1	1.2	1.1	0.9
Total	4.5	3.2	6.7	9.5	8.4	6.3

ITEM 6

Summary of teaching staff FTE and contract type in Q2 2020/21 compared with previous quarters, including Teaching Management (Heads of School and Depute Heads of School):

Average FTE (Academic)	Q2 2020/21	Q1 2020/21	Q4 2019/20	Q3 2019/20	Q2 2019/20	Q1 2019/20	Q4 2018/19
Permanent Teaching Staff (Management)	13	13	13	13	13	13	7
Permanent Teaching Staff	138.5	142.2	145.4	145.6	145.7	147.3	151
Fixed-Term Teaching Staff	0.0	0.0	0.0	0.0	0.0	0.2	1.4
Total	151.5	155.2	158.4	158.6	158.7	160.5	159.4

Summary of support staff FTE and contract type in in Q2 2020/21 compared with previous quarters:

Average FTE (Support)	Q2 2020/21	Q1 2020/21	Q4 2019/20	Q3 2019/20	Q2 2019/20	Q1 2019/20	Q4 2018/19
Permanent Support Staff (Management)	13.05	12.8	13.5	13.8	14.4	14.9	15.3
Permanent Support Staff	135.2	142.3	144.9	145.9	144.6	144.6	136.2
Fixed-Term Support Staff	12.0	15.4	18.4	20.0	18.4	17.6	23.4
Permanent Assessors	13.8	13.8	14.2	10.5	10.9	8.2	5.4
Fixed-Term Assessors	1.0	1.0	1.0	1.0	1.0	1.5	1.9
Total	175.05	185.3	192.0	191.2	189.3	186.8	182.2

3. Leavers

On 5 May 2020, the RSB approved the Voluntary Severance Scheme upon which it was then sent to the SFC for their approval. Formal approval of the scheme by the SFC was received on Friday 05 June 2020. On Tuesday 09 June 2020, the Voluntary Severance Scheme (VSS) was launched to all staff.

ITEM 6

There were 15 leavers in Q2 2020/21: 4 End of Fixed-Term Contracts, 3 Resignations and 8 Voluntary Severance.

Job Classification Description	Headcount	Total FTE	Reason for leaving
Support Staff Established	4	4.0	2 x Resignations 2 x Vol. Severance
Support Staff Non-Established	4	3.6	4 x End of FTC
Support Term-Time Only Non-Established	5	3.77	1 x Resignation 4 x Vol. Severance
Teaching Staff Established	2	1.0	2 x Vol. Severance
Total	15	12.37	

Of the 3 resignations: 2 were from individuals in an “At Risk” group and 1 was from an individual who moved to an alternative organisation.

The resignations were from the Early Learning & Childcare Centre (ELCC) and Student Records.

Of the 8 departures under the VSS, 7 were from individuals “At Risk” (ELCC, Engineering Technology and Core Skills). The remaining 1 was from Business, Computing & Hospitality.

Backfill has been sought for 1 of the 15 leavers, representing 1 FTE (Student Records Officer). For the remaining **11.37 FTE** no backfill has been sought or approved thus far. This will represent an overall reduction in FTE in Q3 2020-21.

Future confirmed reductions in FTE in 2020/2021 **not** being backfilled are as follows:

Job Title	FTE	Reason	Effective Date
Lecturer – Engineering	1.0	VSS	03/02/2021
Food Services Assistant	0.73	VSS	31/03/2021
FOH & Admin Team Leader	1.0	VSS	31/05/2021
Lecturer – Social Science	0.4	VSS	16/06/2021
Lecturer – Professional cookery	1.0	VSS	25/06/2021
Childcare Practitioner (TTO)	0.5953	VSS	02/07/2021
Total	4.7253		

4. Starters

There were 3 starters in Q2 2020/21 as outlined in the table below:

Job Classification Description	No. of Starters	Total FTE
Support Staff Established Position	1	1.0
Support Staff Non-Established Position	2	1.86
Total	3	2.86

The 1 **permanent** contract appointed is for a new post: Technician – Psychology. This post is a requirement of the awarding body and will be partially funded by Academic Partners.

The 2 **fixed-term** contracts appointed in Q2 are to cover shortages in staffing at the Early Learning and Childcare Centre until the Care and Learning Alliance (CALA) lease our premises at Inverness Campus from 05 July 2021.

5. Staff Changes

In Q2 2020/21, 1 member of staff transferred to a permanent contract following successful completion of a qualification (SVQ Assessor).

4 flexible working requests were submitted in Q2 2020/21 and all were approved. 1 was for a consolidation of current hours and 2 were for a total reduction of 0.6FTE, however these require to be backfilled. The remaining 1 that was approved represents a 0.2 FTE reduction. This will therefore represent a total recurrent saving of **0.2 FTE** in 2020/21 onwards. In addition, 5 flexible working requests came into effect in Q2 2020/21, 1 being from academic and 4 from support staff. This represents a reduction in Q2 of **1 FTE**, 0.8 FTE being from support and 0.2FTE being from academic staff.

The flexible working requests which were approved in Q2 2020/21 were all from female members of staff, 2 in an academic function and 2 in a support function.

6. Other staff savings – furlough

Due to the ongoing coronavirus pandemic, 28 staff remain on flexible furlough leave to 31 March 2021 (tbc) as follows:

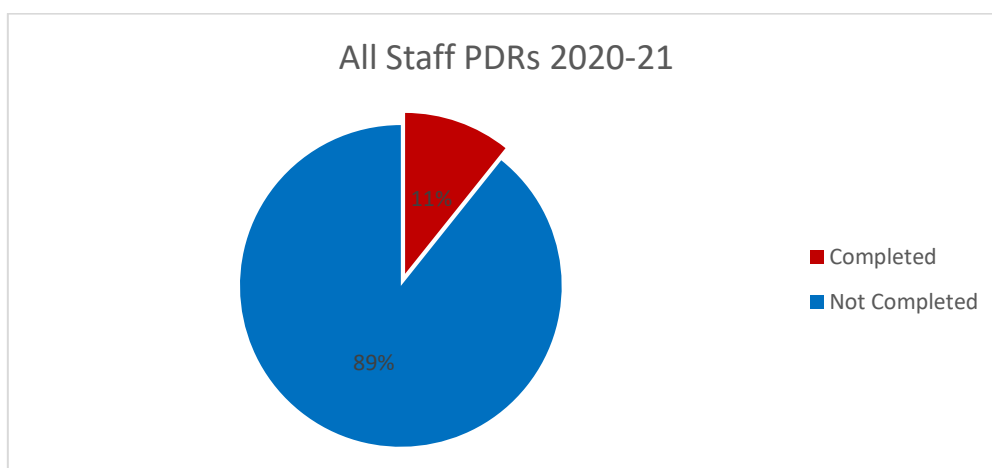
Department	November	December	January
ELCC (6.94 fte)	0	0	10
Estates (1 fte)	0	1	1
Hospitality (14.4 fte)	17	18	17
Total Headcount	17	19	28

This represents monthly savings as follows:

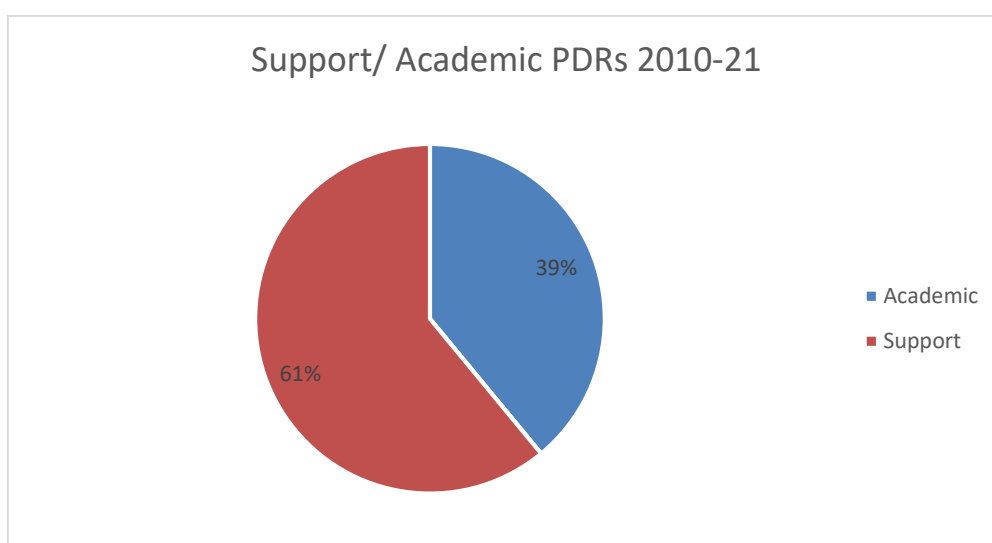
Month 2020/21	Saving
November	£12,073.03
December	£15,505.18
January	£25,432.69
Total	£53,010.90

7. Performance & Development Reviews (PDRs)

Managers have reported having completed 11% of PDRs for academic year 2020/21. This data tracks only those PDRs which have been uploaded to CIPHR.



Of those completed, 39% represented those undertaken with support staff and 61% were those undertaken by academic staff.



8. Absence

Sickness absence in Q2 2020/21 totalled 548 days, equivalent to 2.5%.

This is a 0.7% increase from Q1 2020/21 (1.8%).

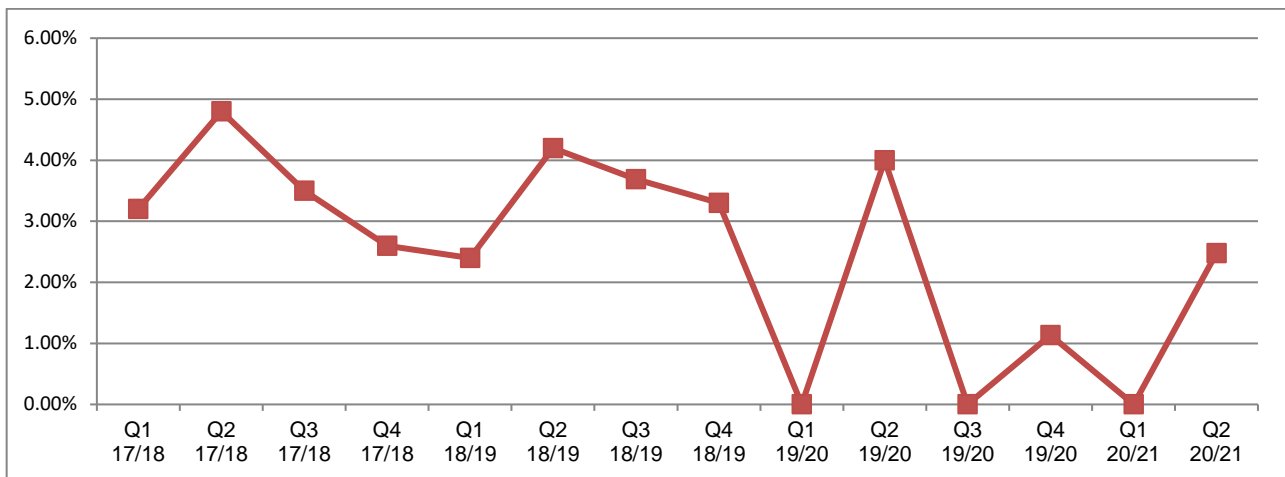
Absence Reason		Days lost		Days lost		Days lost
Back Pain	Q2 20/21	3	Q1 20/21	3	Q4 19/20	
Bacteriological Infection	Q2 20/21	19	Q1 20/21		Q4 19/20	
Bereavement	Q2 20/21	4	Q1 20/21		Q4 19/20	21
Cardiac/Circulation	Q2 20/21	45	Q1 20/21		Q4 19/20	
Cold/Flu	Q2 20/21	1.5	Q1 20/21	15	Q4 19/20	
Debility	Q2 20/21		Q1 20/21		Q4 19/20	
Dental	Q2 20/21	1	Q1 20/21	3	Q4 19/20	
Diabetes	Q2 20/21		Q1 20/21		Q4 19/20	
Digestive System	Q2 20/21	3	Q1 20/21	2.5	Q4 19/20	1
Eye Problems	Q2 20/21		Q1 20/21		Q4 19/20	
Food Poisoning	Q2 20/21		Q1 20/21		Q4 19/20	
Gastrointestinal	Q2 20/21		Q1 20/21	6	Q4 19/20	
Genitourinary	Q2 20/21	8	Q1 20/21		Q4 19/20	
Gynaecological	Q2 20/21		Q1 20/21	2	Q4 19/20	
Headaches/Migraine	Q2 20/21	8.5	Q1 20/21	3	Q4 19/20	7
Injury	Q2 20/21	56	Q1 20/21	38	Q4 19/20	
Mental Health	Q2 20/21	76	Q1 20/21	64.5	Q4 19/20	28
Minor Illness	Q2 20/21	9	Q1 20/21	3	Q4 19/20	
Multiple Sclerosis	Q2 20/21		Q1 20/21	1	Q4 19/20	1.5
Musculoskeletal	Q2 20/21	1	Q1 20/21	34	Q4 19/20	
Neurological	Q2 20/21	59	Q1 20/21	65	Q4 19/20	66
Oncological	Q2 20/21		Q1 20/21		Q4 19/20	
Phased return to work	Q2 20/21		Q1 20/21		Q4 19/20	
Pregnancy Related	Q2 20/21	9	Q1 20/21	46	Q4 19/20	
Respiratory	Q2 20/21		Q1 20/21	13.5	Q4 19/20	
*Stress at Work	Q2 20/21	83	Q1 20/21		Q4 19/20	
Stress/Anxiety	Q2 20/21	64	Q1 20/21	65	Q4 19/20	49
Surgical	Q2 20/21	66	Q1 20/21	21	Q4 19/20	16
Viral infection	Q2 20/21	12	Q1 20/21	9	Q4 19/20	4
Unknown	Q2 20/21		Q1 20/21	1	Q4 19/20	
COVID-19 (positive test)	Q2 20/21	20	Q1 20/21		Q4 19/20	
Self-Isolation (Covid-19)	Q2 20/21	23	Q1 20/21		Q4 19/20	
Long term absence	Q2 20/21	388	Q1 20/21	252	Q4 19/20	173
Short term absence	Q2 20/21	160	Q1 20/21	143.5	Q4 19/20	81.5

**From Q2 2020/21 Stress/Anxiety has been split and a new line added for Stress at Work*

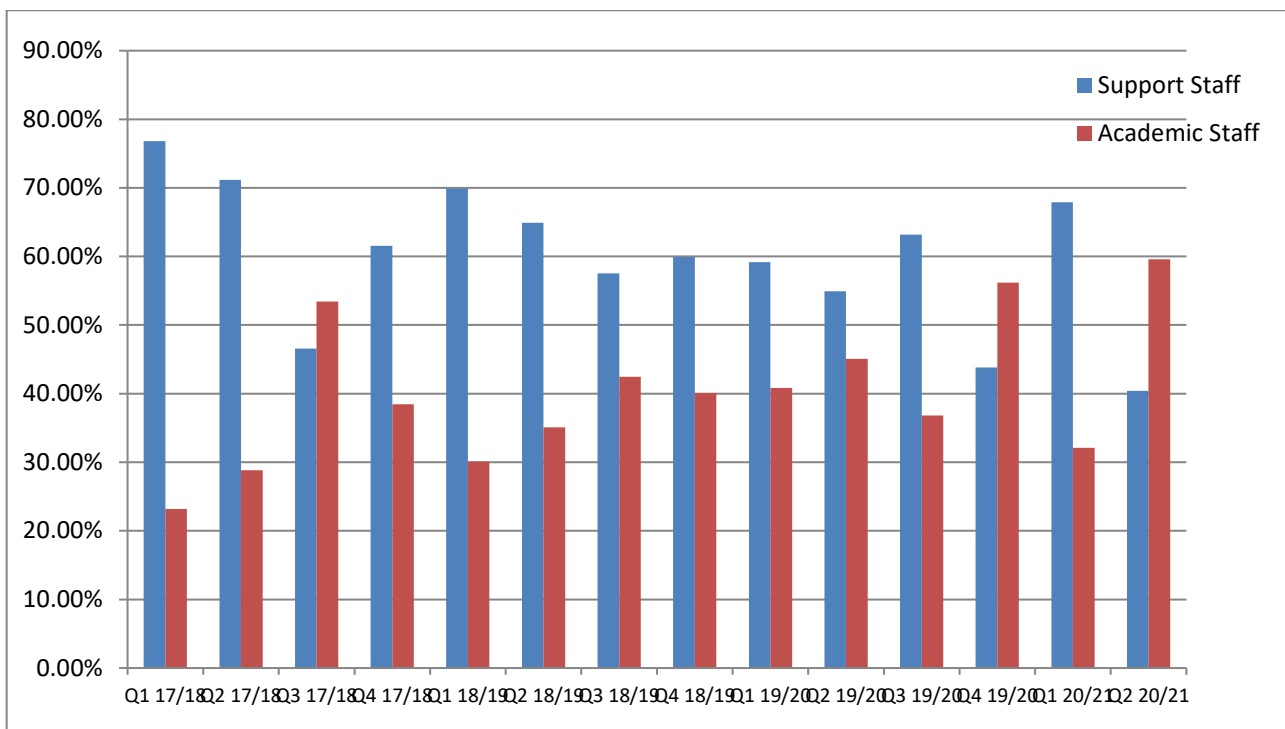
In Q2 2020/21, 40.4% of absence was attributable to support staff and 59.6% to academic staff. In comparison to Q2 2019/2020, this is a decrease of 14.5% for support staff absence and an increase of 14.5% for academic staff.

Management referrals to Occupational Health (NHS Highland) numbered 7 in Q2 2020/21, relating to employees with long-term sickness absence or ongoing medical conditions and reasonable adjustments in relation to COVID-19 restrictions.

% Absence



Sickness Absence (Support/Academic)



The College’s Promoting Attendance Policy defines long term sickness absence as sickness absence for 13 or more consecutive days in relation to stress/anxiety or, for any other condition, 28 days or more (4 weeks).

In Q2 2020/21, out of 10 staff who were long-term absent; 2 were due to stress/anxiety; 2 were due to neurological; and 1 each due to stress at work, injury, mental health, surgical, bacteriological and cardio/circulation. 4 of those staff have since returned to work; 1 left by means of an approved voluntary severance application and 5 remain absent and under the care of Occupational Health.

ITEM 6

The most common reason for absence in Q2 2020/21, based upon total number of episodes, was for minor illness with 8 episodes, with 9 days lost (1.6% of total absence and 8 individuals). The second most common reason was jointly for stress/anxiety – general, mental health, headache/migraine and viral infection with 5 episodes each, with a total of 226.5 days lost between them (41.3% of total absence and 18 individuals).

Stress at Work accounted for the greatest proportion of absence in Q2 2020/21, constituting 15.1% of total absence (7 individuals). The second greatest proportion of absence in Q2 2020/21 was attributable to mental health (13.9% and 4 individuals); followed by surgical (12% and 3 individuals).

Since restrictions were put in place to control the spread of the COVID-19 virus on 23 March 2020, 3 individuals in Q2 2020/21 were recorded as being absent due to COVID-19.

The College buildings were opened on 24 August on a restricted, pre-authorised basis where deemed essential. Following the Scottish Government's guidance, the College buildings have remained closed from 07 January 2021 to all students and non-essential staff. Our ELCC offered a reduced service to vulnerable children and those of designated key workers.

Following the First Minister's confirmation that early learning services could resume on 22 February 2021, we undertook a phased return to our ELCC service on-campus. The ELCC welcomed back children with funded places, in addition to the current vulnerable and key worker children.

The Scottish Government published its [updated strategic framework](#) on 25 February 2021, which sets out their priorities and a timeframe for easing restrictions due to COVID-19.

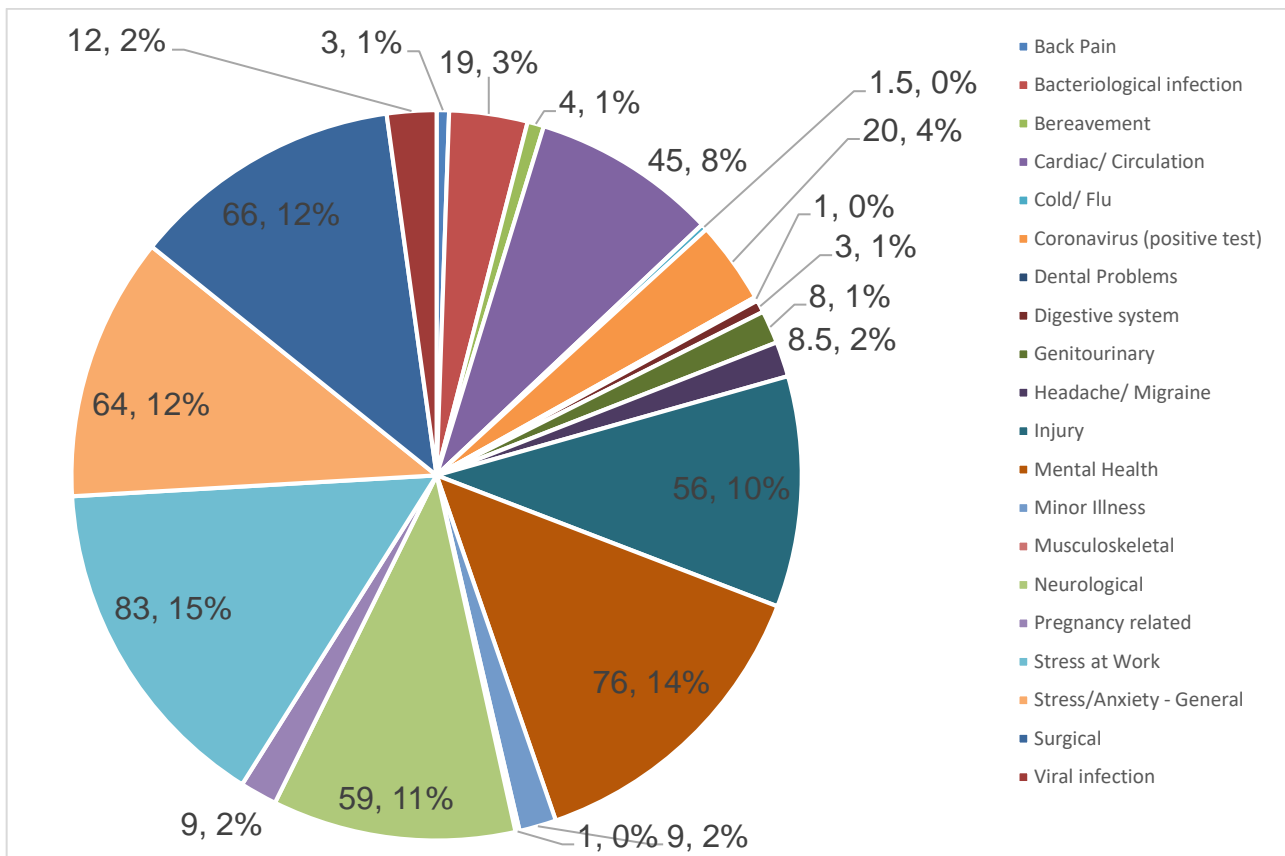
For the moment, the vast majority of learning will continue to take place remotely, with most staff continuing to work from home.

However, colleges and universities can now restart face to face teaching for a small number of students. Priority will be made for students who require access to campus to complete essential practical activities or assessments.

Return to our main Inverness College UHI campus and Scottish School of Forestry for these students will be managed in a controlled and cautious way.

Phase one of re-opening will see a very small number of students return for face-to-face teaching from Monday 08 March 2021.

Days Lost by Absence Reason (Q2 2020/21)



Board of Management

Subject/Title:	Staff Survey
Author: [Name and Job title]	Nicola Quinn, Human Resources Manager
Meeting:	Human Resources Committee
Meeting Date:	11 March 2021
Date Paper prepared:	19 February 2021
Brief Summary of the paper:	This report outlines the high-level outputs from the staff survey. The purpose of this staff survey was to gather staff views in relation to experiences and any consequences of working from home.
Action requested: [Approval, recommendation, discussion, noting]	Discussion
Link to Strategy: Please highlight how the paper links to, or assists with: <ul style="list-style-type: none"> • compliance • partnership services • risk management • strategic plan • new opportunity/change 	
Resource implications:	Yes/No If yes, please specify:
Risk implications:	Yes / No If yes, please specify: Operational: Organisational:
Equality and Diversity implications:	Yes/No If yes, please specify:
Consultation: [staff, students, UHI & Partners, External] and provide detail	

ITEM 07

Status – [Confidential/Non confidential]	Confidential		
Freedom of Information Can this paper be included in “open” business* [Yes/No]	No		
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