NOTICE OF MEETING
There will be a meeting of the Human Resources Committee on Tuesday 19 July 2016, 1030-1130 hours in Room G10 at Aberdeen City Campus.

MEMBERS OF THE BOARD OF MANAGEMENT
Mr. I Gossip
Mr. J Henderson
Mr. J Gall
Ms. C Inglis (Chair)
Mr. R McGregor
Mr. K Milroy
Ms. A Simpson
Mr. A Smith
Mr. R Wallen

IN ATTENDANCE
Ms. E Hart, Vice Principal Human Resources
Ms. P May, Secretary to the Board of Management
Ms. P Kesson, Minute Secretary
AGENDA
19 July 2016

1. Apologies for Absence

2. Minute of Previous Meeting
   2.1 Minute of 17 May 2016 (paper enclosed)

3. Matters Arising from Previous Meeting (paper enclosed)

4. Report to Committee by the Principal (paper enclosed)

5. Matters for Discussion
   5.1 HR Priorities and Strategy – including Distance Travelled since May 2014 (paper enclosed)
   5.2 National Bargaining (oral update)

6. Matters for Information
   6.1 Key Health and Safety Performance Indicators (paper enclosed)
   6.2 Report on Organisational Development Activity (paper enclosed)
   6.3 Outcome of the Internal Audit of Human Resources (paper enclosed)
   6.4 Outcome of the Internal Audit of Payroll

7. Summation of Business and Date and Time of Next Meeting
1. Apologies for Absence
   Apologies were received from A Simpson.

2. Minute of previous Meeting
   The Minute of Meeting held on 15 March 2016 was approved.

3. Matters arising from Minute of previous Meeting
   3.1 The Committee noted a paper providing updated information on matters arising from the meeting held on 15 March 2016
      Mr Wallen provided additional information on the strike action taken by the EIS in March 2016 and confirmed that the decision not to deduct pay from staff who were on strike was a national one.

      Ms Hart informed Members that it has been estimated that a new payroll system would entail a cost of £70,000. It was noted that work to confirm the benefits of implementing a new system would be undertaken.

      Mr Wallen informed Members that there is considerable pressure from UNISON that a mandatory requirement for all colleges to sign up to the National Living Wage Foundation is implemented.

4. Report by the Principal
   The Committee noted a report providing information on: the re-let of the Security and Janitorial Contract; Staff Excellence Awards; Visit by Chief Executive of the 157 Group; and lecturers’ salaries.

   Mr Wallen provided additional information on a recent 157 Group meeting he had attended in Belfast, commenting that the meeting had been interesting and worthwhile. Mr Milroy stated that it was beneficial for the College to participate in discussions with organisations outwith the Scottish sector.

5. Matters for Decision
   5.1 Relocation Policy and Procedure
      The Committee considered the draft Relocation Policy and Procedure which had been prepared in line with HM Revenue & Customs (HMRC) regulations and best practice.

      Members noted that the scheme will only apply to specific permanent posts as predetermined by the College

      Members were informed that there is a need to have such a policy for key posts and the implementation of the Policy would be dictated by market forces at any given time.

      Members requested that consideration be given to the inclusion of a statement on the potential availability of relocation packages in the terms and conditions of posts.

      The Relocation Policy and Procedure was approved subject to the removal of the words “or any other employer” in the penultimate bullet point of paragraph 3.3; and the addition of the words “subject to the approval of the Senior Management Team” in paragraph 5.2.2.
6. Matters for Discussion

6.1 HR Priorities and Strategy Implementation
The Committee considered a paper on progress made with key HR priorities.

Members noted the significant amount of work undertaken to date to embed the College’s Vision and Values and the acknowledgement of this work in the report from the 2-year Post-merger Evaluation.

Mr Wallen commented that the replacement of the College’s payroll system would be a matter for consideration by the IT Steering Board.

Ms Hart informed Members that the electronic handbook for staff was progressing well and she hoped to have further information for the July meeting of the Committee.

It was agreed that the Committee would review the College’s HR Strategy and Priorities in the autumn to develop a scope of work going forward.

6.2 National Bargaining
Mr Wallen provided an update on developments relating to national bargaining.

It was noted that the Board may, in due course, need to decide whether national bargaining is in the best interests of the College. Members acknowledged that the implementation of national bargaining has removed flexibility of negotiating at a local level and that the College owes its current positive position to the autonomy it has previously enjoyed.

Members were advised that the College is required to give 12 months’ notice to leave the NRPA and the consequences of leaving were currently unknown.

In response to a question about the impact of pay settlements on the budget Mr Wallen said that this would be the subject of discussion at the Board’s Planning Event on 19 May 2016. Mr Wallen added that there had been earlier indications that the pay increase for 2016-17 would be met in full by additional funding from the Scottish Funding Council, but this had not yet materialised.

Members agreed that it was crucial to maintain ongoing and consistent communication with staff regarding national bargaining developments.

7. Matters for Information

7.1 Investors in People
The Committee considered the Investors in People (IIP) Report received following the review in December 2015 along with an accompanying Action Plan.

Members noted that the delay in issuing the full report had arisen because the original draft contained a number of issues which were subsequently raised with the IIP Reviewer.

The overall positive content of the IIP report was noted and the action plan to address issues was commended.

It was agreed that consideration may need to be given to whether the College wishes to continue to maintain its IIP accreditation in the longer term.
7.2 Key HR Performance Indicators

The Committee considered and noted a report providing information on key performance indicators for the period 01 January 2016 to 31 March 2016 (Quarter 1).

Information was provided on headcount; leavers; turnover; vacancies; appointments; quarterly overview of absence; and absence by reason.

7.3 Key Health and Safety Performance Indicators

The Committee considered a paper providing information on key performance indicators relating to the Health and Safety function.

Information was provided on accident statistics; work placement visits; approved contractor list; workplace dust monitoring; food hygiene inspections; Health and Safety Committee; and BSI OHSAS18001 Audit.

It was agreed that clarification will be sought from Aberdeen Sports Village to ascertain if the reporting of accidents involving College staff and students is being referred to the College.

Ms Hart was requested to provide an update on issues relating to an accident involving a contractor at the next meeting of the Committee.

Ms Hart was requested to speak to two staff representatives regarding their non-attendance at meetings of the Health & Safety Committee.

The Committee noted the contents of the report.

7.4 Report on Organisational Development Activity

The Committee considered and noted a report providing information on key activities undertaken by the Organisational Development Team.

Information was provided on Prevent training; and the creation of a pilot group which will undergo analysis of training and development needs.

Ms Hart provided updated information on leadership development.

7.5 Employers’ Association

The Committee considered a paper providing information on the creation by Colleges Scotland of an Employers’ Association to support National Collective Bargaining.

The Committee noted the information provided in the paper and were informed that Ms Hart would be the College’s representative on the Association.

8. Summation of Business and date and time of next Meeting

The Secretary gave a summation of the business conducted. The next meeting of the Human Resources Committee is scheduled to take place on Tuesday 19 July 2016 at 1030 hours.

The meeting concluded at 1200 hours.
Matters Arising from the Minute of the Previous Meeting

1 Introduction
   1.1 This paper is to update the Committee on matters arising from the minute of the meeting of 17 May 2016.

2 Matters Arising
   2.1 The following provides an update on matters discussed at the last meeting of the Committee:

   5.1 Relocation Policy and Procedure
       The Relocation Policy and Procedure has been finalised to incorporate the amendments requested by the Committee and has been made available on AbNet.

   6.1 HR Priorities and Strategy Implementation
       The potential replacement of the College’s Payroll System was discussed as part of the schedule of proposed IT projects at a recent meeting of the IT Steering Board (ITSB). A final business case for the project is being prepared and further consideration will then be undertaken by the SMT and ITSB as part of a review of the College’s IT projects’ budget and schedule.

       The Committee had previously been advised that they would receive a demonstration of a new electronic staff handbook at its July meeting. As noted in Agenda Item 5.1, a priority for the HR Team which commenced in May 2016 is “Developing a documented set of Terms and Conditions of employment for support and lecturing staff”. This work replaces the development of an electronic handbook.

   7. Key Health and Safety Performance Indicators
       Information on procedures for the reporting of accidents involving College staff and students has been included under Agenda Item 6.1.

       Further Information on an accident involving a contractor at the Fraserburgh Campus has also been included under Agenda Item 6.1.

       Non-attendance at meetings of the College’s Health and Safety Committee has been discussed with two staff representatives. A schedule of future meetings is being prepared to help attendees schedule commitments appropriately.

3 Recommendation
   3.1 It is recommended that the Committee note the contents of this paper.

Rob Wallen
Principal

Pauline May
Secretary to the Board of Management
Report to the Committee by the Principal

1. Introduction
   1.1 The purpose of this paper is to provide information on significant matters relevant to the Committee.

2. HR PIs
   2.1 The next quarter’s HR PI data sets will be presented at the September meeting of the Committee.

3. Colleges Scotland Employers’ Association, National Joint Negotiating Committee and Workforce of the Future Working Group
   3.1 Elaine Hart, Vice Principal Human Resources, is the College’s representative on all of the groups listed above.

   3.2 The first meeting of the Employers’ Association took place on 06 June 2016. This meeting elected Ian McKay, Chairman of Edinburgh College as the Chair, agreed the remit of the EA and the representatives for the NJNC.

   3.3 The NJNC met on 16 June 2016 with separate support and lecturing staff side tables. The 2016-17 final pay offer was presented to the support staff representatives who confirmed that they are in dispute and that they will be balloting their members for industrial action. Discussions continue with the lecturing staff representatives over what the Workforce of the Future will look like.

   3.4 The first meeting of the Workforce of the Future group is due to take place on 23 June 2016.

   3.5 Further information will be provided later in the agenda.

4. Visits by MP and MSPs
   4.1 In recent weeks there have been visits to the College by Kirsty Blackman MP (Altens, Craibstone, and Clinterty), Peter Chapman MSP (Fraserburgh) and Ross Thomson MSP (Gallowgate). All three said they were very impressed by the quality of the facilities provided.

5. Visit by Ex Staff
   5.1 On Wednesday 22 June 2016 a number of former staff of Aberdeen College/NESCol were invited to the College to see the end of year Creative Industries Show. Those who attended included some who had retired before the Millennium. Comments on the recent work on the College were very positive.

6. Annual Staff Inter-Campus Football Tournament
   6.1 On the evening of 17 June 2016 the second College annual staff inter-campus football tournament took place at Aberdeen Sports Village. Four teams competed – two from the Aberdeen City Campus and one each from the Fraserburgh and Altens Campuses. On this occasion one of the Aberdeen City Campus Team won the competition and received the shield – sponsored by Aberdeen Football Club Heritage Trust, and presented on the evening by Allan McKimmie, Chairman of the Trust. (Fraserburgh Campus won the competition in 2015).
7 Staff Barbeque and Social Evening

7.1 On the evening of 27 June 2016 a staff barbecue and social evening was held at the Fraserburgh Campus. The College’s Staff Association had decided that a single event open to staff of all campuses should be held rather than separate events being held in Aberdeen and in Fraserburgh. A coach was hired by the Association to take staff from Aberdeen and back. Feedback from the event indicated that it was very positive in bringing together staff across different campuses.

8. Recommendation

8.1 It is recommended that the Committee note the contents of this report.

Rob Wallen
Principal
HR Priorities and Strategy - including Distance Travelled since May 2014

1. **Introduction**
   1.1 The purpose of this paper is to update the Committee on progress regarding the key HR priorities.

2. **HR Priorities and Strategy - Distance Travelled**
   2.1 HR Priorities were first reported on to this Committee in May 2014. At Appendix 1 is a summary of these priorities and evidence of achievement or otherwise. ‘Green’ denotes fully implemented (complete), ‘Amber’ denotes that the priority has changed and evolved since the original priority was set due to factors outwith our control and ‘Red’ denotes not achieved.

   2.2 There have been 13 key priorities during this period. Of these 10 have been fully implemented and 3 are categorised as amber. There are no priorities categorised as ‘Red’.

   2.3 It is encouraging to note how much has been achieved and how far the College and the HR and Organisational Development (OD) Teams have come during the last two years.

3. **The HR Priorities**
   3.1 At Appendix 2 is an updated set of HR and OD priorities. These have been updated and re-categorised for clarity.

4. **Recommendation**
   4.1 It is recommended that the Committee note the contents of this report.

Rob Wallen
Principal

Elaine Hart
Vice Principal Human Resources
## HR PRIORITIES - DISTANCE TRAVELLED SINCE MAY 2014

<table>
<thead>
<tr>
<th>PRIORITY</th>
<th>Achieved</th>
<th>Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Develop and Implement HR Strategy</td>
<td>Yes</td>
<td>The HR Strategy has been delivered via the reporting of key priorities to this Committee and the monitoring by the HR Management Team of its operational plan.</td>
</tr>
<tr>
<td>Review HR Structure</td>
<td>Yes</td>
<td>The HR Structure was reviewed and implemented in October 2014. The Head of HR was appointed in June 2015. Since that time there has been a further review following the resignation of an HR Officer and the implementation of e-Recruitment. There has been the reduction of 2.6 FTE HR Assistants and the replacement of the HR Officer role with a trainee post.</td>
</tr>
</tbody>
</table>
| Embed/Review/Implement the College Vision and Values | Yes      | This evolved into the “One College” Project which resulted in the Leadership Team leading on three key projects as identified via workshops and questionnaires with staff:  
  • Communication  
  • Integration  
  • Leadership  

  These groups have made key steps forward in the last year including significant changes to communication mechanisms including the introduction of NewsRoom and Key Comms and working on the Staff Intranet Project, the introduction of Leadership Behaviours and a 360 Degree Feedback pilot.  

  This work has now evolved into the development and implementation of an Employee Engagement Strategy and Action Plan. |
| Develop and Implement suite of integrated HR Policies and Procedures | Yes      | There is now an up to date suite of HR Policies with set review dates.                                                                                                                                 |


<table>
<thead>
<tr>
<th>PRIORITY</th>
<th>Achieved</th>
<th>Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ensure full and effective use of existing HR system (with a view to tendering for a new system)</td>
<td>Changed</td>
<td>There have been significant challenges with the HR and Payroll system but it has now been cleaned up and is being used as effectively as the system will allow. This objective has now evolved into the HR and Payroll Systems Replacement Project.</td>
</tr>
<tr>
<td>Specify new Occupational Health (OH) Contract</td>
<td>Yes</td>
<td>OH contract up and running from July 2015.</td>
</tr>
<tr>
<td>Support the implementation of support structures to support the curriculum/updated contracts and letters</td>
<td>Yes</td>
<td>All restructures were completed and the harmonisation of all support staff onto NESCol pay grades was completed in February 2015.</td>
</tr>
<tr>
<td>Implement new support staff pay grades in line with Job Evaluation</td>
<td>Yes</td>
<td>See above.</td>
</tr>
<tr>
<td>Harmonisation of Lecturers terms and conditions of employment</td>
<td>Yes</td>
<td>Completed February 2015.</td>
</tr>
<tr>
<td>Develop and implement e-Recruitment</td>
<td>Yes</td>
<td>Talent Link has been successfully implemented and significant savings made both in terms of recruitment advertising and HR staff utilisation. In addition it has provided a significantly enhanced service for applicants and recruiting officers.</td>
</tr>
<tr>
<td>Performance Management</td>
<td>Yes</td>
<td>A new performance review scheme has been developed and implemented and has been running for this academic year. The system is now on-line and will be further developed as outlined in the current HR priorities.</td>
</tr>
<tr>
<td>Succession Planning</td>
<td>Changed</td>
<td>This objective has now evolved into the Leadership and Succession Planning priority with work being undertaken in the first instance to identify development needs of key managers and put interventions in place.</td>
</tr>
<tr>
<td>Achieve IiP Gold status for NESCol</td>
<td>Changed</td>
<td>With the implementation of a new IiP framework this objective changed and NESCol achieved Silver against the new framework with a plan to achieve Gold in line at the next full review in 2018.</td>
</tr>
</tbody>
</table>

**Key**

- **Fully Achieved**
- **Priority changed due to other factors**
- **Not Achieved**
<table>
<thead>
<tr>
<th>Priority</th>
<th>Priority</th>
<th>Commentary</th>
<th>Start/End Date</th>
<th>RAG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Develop and implement Employee Engagement Strategy and Action Plan</td>
<td></td>
<td>As agreed at the Leadership Team this is the next phase of the Vision and Values work following on from the 3 Project Teams. This strategy will have 4 key areas: • Wellbeing, Recognition and Reward • Communication and Employee Voice • Effective Leadership and Career Development • Continuous Business Improvement. The next stage is to set up a Core Working Group to develop the Strategy and Action Plan.</td>
<td>S September 2016 E July 2017</td>
<td></td>
</tr>
<tr>
<td>Review of Induction and Probation Processes</td>
<td>Phase 1</td>
<td>Map current processes to develop a more streamlined, efficient and joined up approach between HR, OD and line managers using current on-line system. <strong>Phase 2</strong> Incorporate into proposed HR/Payroll System</td>
<td>S June 2016 E August 2016 tba</td>
<td></td>
</tr>
</tbody>
</table>

**ORGANISATIONAL DEVELOPMENT PRIORITIES**

<table>
<thead>
<tr>
<th>Priority</th>
<th>Priority</th>
<th>Commentary</th>
<th>Start/End Date</th>
<th>RAG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leadership Development and Succession Planning</td>
<td>360 Degree Feedback pilot and development planning will be complete by 30 June 2016. 360 reviews and the creation of individual development plans will be extended to all leaders throughout the next academic year.</td>
<td>S September 2016 E June 2017</td>
<td></td>
<td></td>
</tr>
<tr>
<td>To complete the iIIP Action Plan</td>
<td>To work towards achieving Gold Standard following the completion of appropriate reviews.</td>
<td>E Dec 2018 Next interim review December 2016</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Performance Review</td>
<td><strong>Phase 1</strong> Fully embed the use of the current electronic process. <strong>Phase 2</strong> Update the current performance review system ready for implementation as part of the proposed new HR/Payroll system.</td>
<td>S June 2016 E October 2016 tba</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Priority</td>
<td>Priority</td>
<td>Commentary</td>
<td>Start/End Date</td>
<td>RAG</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>----------</td>
<td>----------------------------------------------------------------------------------------------------------------</td>
<td>----------------------</td>
<td>----------------</td>
</tr>
<tr>
<td>Payroll</td>
<td></td>
<td>To implement the key audit recommendations</td>
<td>31 July 2016</td>
<td></td>
</tr>
<tr>
<td>HR and Payroll Systems Replacement Project</td>
<td></td>
<td>Business case prepared. Awaiting a final decision on whether this project will go forward.</td>
<td>tba</td>
<td></td>
</tr>
<tr>
<td>Gender Pay Gap Reporting</td>
<td></td>
<td>It is necessary to prepare for the April 2017 statutory requirement to publish our gender pay gap information.</td>
<td>S September 2016</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>E April 2017</td>
<td></td>
</tr>
<tr>
<td>Developing a documented set of Terms and Conditions of employment for</td>
<td></td>
<td><strong>Phase 1</strong>&lt;br&gt;Collation of all terms and conditions and production of consistent guidance documentation.</td>
<td>S May 2016</td>
<td></td>
</tr>
<tr>
<td>support and lecturing staff</td>
<td></td>
<td><strong>Phase 2</strong>&lt;br&gt;To be incorporated into the self-service dashboard of the proposed HR/Payroll system&lt;br&gt;<strong>NB:</strong> this work will be impacted by National Collective Bargaining outcomes.</td>
<td>E 31 December 2016</td>
<td></td>
</tr>
<tr>
<td>Implementation of outcomes from National Collective Bargaining</td>
<td></td>
<td>This section will be updated as the outcomes become clearer.</td>
<td>On-going</td>
<td></td>
</tr>
</tbody>
</table>

**KEY - Priorities**

<table>
<thead>
<tr>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>High Priority</td>
</tr>
<tr>
<td>Medium Term Priority</td>
</tr>
<tr>
<td>Longer Term Priority</td>
</tr>
</tbody>
</table>

**KEY - RAG**

<table>
<thead>
<tr>
<th>Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>On track</td>
</tr>
<tr>
<td>Possible risk of not achieving deadline</td>
</tr>
<tr>
<td>High risk of not achieving deadline</td>
</tr>
</tbody>
</table>
Key Health and Safety Performance Indicators

1. Introduction
   1.1 The purpose of this report is to provide the Committee with information on key performance indicators relating to the health and safety function.

2. Accident Statistics
   2.1 Accident statistics for the period 31 August 2015 to 09 June 2016 are noted in the table below with comparative information for previous years.

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>North East Scotland College</td>
<td>50 of which 8 were reported to HSE</td>
<td>77 of which 11 wer. reported to HSE</td>
<td>43 of which 4 were reported to HSE</td>
<td>45 of which 6 were reported to HSE</td>
<td>40 of which 8 were reported to HSE</td>
</tr>
</tbody>
</table>

   2.2 The accidents which were reported to the HSE under requirements of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) involved:

   - Injured Person (IP) sustaining a mild cold burn injury caused by spraying himself with the contents of computer air dust aerosol. The student has been warned about future class behaviour.
   - IP suffered a broken finger attempting to catch a basketball during a sports class. Further instruction has been provided on the safe way to catch the heavy basketball.
   - IP hurt left hand with electrical portable grinder. IP was holding the grinder in right hand and work-piece in left hand. Student has been reminded to clamp all work pieces in the vices provided.
   - IP suffered mild cut to thumb whilst chopping vegetables in catering class. Class reminded of how to use knives safely.
   - IP was removing a drill chuck on a lathe and trapped fingers between chuck and spindle. As a result he was given first aid by security first aider and went to A&E as a precaution. The student returned to classes the next day.
   - IP is an employee of an external contractor. He was on site to investigate a problem with CT heating pump. He opened the inverter casing and found the fault and proceeded to carry out repair and was injured by steam. College First Aid was administered then the IP was taken to hospital for wounds to be dressed. The IP is back to work. The whole heating system has been checked and passed safe. After investigation it was found that an incorrect part had been fitted in 2012. Any rubber bellows not up to design standard were replaced at the cost of the original contractor to Banff and Buchan College, who completed the work in 2012. The HSE has been contacted for an update but at the date of writing this paper no response had been forthcoming.
   - IP was playing football. He sprinted to chase the ball and his foot slipped causing him to fall and land on his shoulder causing it to dislocate. First aid was administered on site and paramedics were called. Student was taken away by ambulance.
   - IP was working in a welding bay shared by another student. IP reached behind other student to retrieve a piece of metal and accidentally brushed against other student’s portable grinder and sustained a minor abrasion to the hand.
2.3 An analysis of the accidents in the period 31 August 2015 to 09 June 2016 shows that they involved the following:

<table>
<thead>
<tr>
<th>Category</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Students</td>
<td>29</td>
</tr>
<tr>
<td>School Pupils</td>
<td>0</td>
</tr>
<tr>
<td>Employees</td>
<td>8</td>
</tr>
<tr>
<td>Contractors</td>
<td>1</td>
</tr>
<tr>
<td>Members of the Public</td>
<td>2</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>40</strong></td>
</tr>
</tbody>
</table>

2.4 The categories of accidents were as follows:

<table>
<thead>
<tr>
<th>Injury</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cut</td>
<td>14</td>
</tr>
<tr>
<td>Burn</td>
<td>7</td>
</tr>
<tr>
<td>Eye Ingress</td>
<td>2</td>
</tr>
<tr>
<td>Twist</td>
<td>1</td>
</tr>
<tr>
<td>Fracture</td>
<td>2</td>
</tr>
<tr>
<td>Sprain</td>
<td>3</td>
</tr>
<tr>
<td>Puncture</td>
<td>1</td>
</tr>
<tr>
<td>Dizzy</td>
<td>1</td>
</tr>
<tr>
<td>Bump/Knock</td>
<td>2</td>
</tr>
<tr>
<td>Slip/Trip</td>
<td>3</td>
</tr>
<tr>
<td>Dislocation</td>
<td>1</td>
</tr>
<tr>
<td>Bruise</td>
<td>3</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>40</strong></td>
</tr>
</tbody>
</table>

**Breakdown by Site**

<table>
<thead>
<tr>
<th>Site</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aberdeen City Campus</td>
<td>12</td>
</tr>
<tr>
<td>Altens Campus</td>
<td>7</td>
</tr>
<tr>
<td>Aberdeen Sports Village</td>
<td>*</td>
</tr>
<tr>
<td>Crabstone Campus</td>
<td>3</td>
</tr>
<tr>
<td>Fraserburgh Campus</td>
<td>16</td>
</tr>
<tr>
<td>Cinterty Campus</td>
<td>0</td>
</tr>
<tr>
<td>Peterhead Maritime Centre</td>
<td>2</td>
</tr>
<tr>
<td>Ellon Campus</td>
<td>0</td>
</tr>
<tr>
<td>Inverurie Centre</td>
<td>0</td>
</tr>
<tr>
<td>Macduff Learning Centre</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>40</strong></td>
</tr>
</tbody>
</table>

*See Section 7 overleaf.*
3. Work Placement Visits

3.1 The following table shows the number of visits which were undertaken in the period 01 August 2015 to 09 June 2016:

<table>
<thead>
<tr>
<th>Number of Visits to be undertaken in this period</th>
<th>% of Visits Undertaken</th>
</tr>
</thead>
<tbody>
<tr>
<td>201</td>
<td>100</td>
</tr>
</tbody>
</table>

3.2 The number of placement providers across the North East is currently being reviewed with a view to establishing a co-ordinated programme of visits for the whole College.

4. Approved Contractor List

4.1 External contractor companies must be approved by the Head of Health, Safety and Security before carrying out work for the College. This is to ensure that all contractors comply with relevant health and safety standards and are generally a contractor the College is satisfied is of good standing.

4.2 The following table provides details of the total number of companies currently approved to carry out work in North East Scotland College, and the number removed from the list for failing to meet College safety standards in the period 31 August 2015 to 09 June 2016.

4.3 The continued low level of contractors being removed from the approved list demonstrates the initial checks are working well and only companies with a positive, healthy safety culture are approved to work on behalf of the College.

4.4 The two contractors removed/suspended from the approved contractor list is as a result of intelligence received from Police Scotland.

<table>
<thead>
<tr>
<th>No. of Approved Contractors</th>
<th>No. Removed from List</th>
</tr>
</thead>
<tbody>
<tr>
<td>214</td>
<td>2</td>
</tr>
</tbody>
</table>

5. Workplace Dust Monitoring

5.1 Under the Control of Substances Hazardous to Health Regulations (COSHH) a duty is placed on employers to ensure the risk from workplace exposure to dust is removed, so far as reasonably practicable.

5.2 Checks to measure the concentration of inhalable and respirable dust in the air are undertaken by the Health and Safety Team.

5.3 All construction and joinery workshops are included in this programme.

5.4 Each workshop is sampled for respirable dust using a direct reading dust monitor; this monitor also provides the facility for inhalable and thoracic dust checks.

5.5. The following table provides details of the number of dust samples taken and the number of inspections that fell below statutory limits in the period 31 August 2015 to 09 June 2016:

<table>
<thead>
<tr>
<th>No. of Dust Samples Required</th>
<th>No. of Samples Completed</th>
<th>Results</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>7</td>
<td>All Passed</td>
</tr>
</tbody>
</table>
6. Food Hygiene Inspections

6.1 In order to ensure that the College complies with the Food Safety Act 1990, the Food Labelling Regulation 1996 (as amended), the General Food Regulation 2004 and the Food Hygiene (Scotland) Regulations 2006, the Health and Safety Team carry out a programme of kitchen inspections.

6.2 A member of the Health and Safety Team is a qualified Food Hygiene Inspector.

6.3 All kitchens including training and contractor controlled areas are included in the programme.

6.4 The following table shows details of the number of kitchens inspected and any that fell below the required standard in the period 31 August 2015 to 09 June 2016:

<table>
<thead>
<tr>
<th>No. of Food Hygiene Inspections Required</th>
<th>No. of Inspection Completed</th>
<th>Results</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>All Passed</td>
</tr>
</tbody>
</table>

7. Accidents at Aberdeen Sports Village (ASV)

7.1 At the previous Human Resources Committee a question was raised relating to the accident reporting procedure for students undertaking classes at the Aberdeen Sports Village (ASV).

7.2 The accident procedure is the same regardless of where the accident has occurred. The College online accident form should be completed as soon as possible after the accident. The College Health and Safety Team will then investigate the incident and in consultation and with agreement from the Faculty concerned put in place remedial actions to prevent any reoccurrence.

If required by legislation, the Head of Health, Safety and Security will inform the Health and Safety Executive (HSE).

7.3 There is historical evidence of accidents involving NESCol students at the ASV being reported to the College.

7.4 The Head of Health, Safety and Security has contacted the College Sports Team and reiterated that any accidents involving North East Scotland College staff or students must be reported to the College in addition to any local arrangements with ASV.

7.5 The Head of Health, Safety and Security will review the accident reports coming through to the Health and Safety Team for the remainder of the academic year and ensure proper reporting is being completed.

8. Recommendation

8.1 It is recommended that the Committee note the contents of this report.

Rob Wallen    Elaine Hart
Principal    Vice Principal Human Resources
Report on Organisational Development Activity

1. Introduction

1.1. The purpose of this report is to provide the Committee with a summary of the key activities undertaken by the Organisational Development Team during academic year 2015-16 and an indication of targets and plans for academic year 2016-17.

2. Teaching Qualification in Further Education (TQFE) – Lecturers

2.1. North East Scotland College requires all lecturers employed by the College to obtain the TQFE within 3 – 5 years of appointment in accordance with Government guidelines.

2.2. At the end of the academic year there are 300 lecturers employed by the College. Of these currently 241 (80%) hold TQFE. 2 lecturers who have been working on TQFE this academic year have assignments still to complete but are expected to achieve TQFE in November 2016. 23 lecturers are due to start TQFE in September 2016. Therefore once the new academic year is underway approximately 89% of lecturers will either hold or be working towards TQFE which brings us slightly ahead of national benchmarking data where 87% of full-time lecturers hold TQFE or equivalent. (SFC Statistical Publication 14 January 2016) and exceeds the target of 85% agreed by the Human Resources Committee in January 2016.

2.3. Of the remaining lecturers without a TQFE 11 will be working towards an assessor award, 5 will be working on a verifier award and 7 will be working towards a qualification that will allow them access to the TQFE. The majority of this latter group will be taking Higher National Awards internally which reduces costs and also means that the College can claim credits against them.

3. Assessor Awards

3.1. By the end of the academic year 242 (80%) lecturers and 22 (79%) instructors are expected to hold an assessor award.

3.2. 29 lecturers and 4 instructors are on the list to start assessor awards next year which if all of them achieve will raise our figures in the new academic year to 90% and 93% respectively which will exceed the targets (85% for both groups) set by the HR Committee in 2015.

4. Verifier Awards

4.1. By the end of the academic year 217 (72%) lecturers are expected to hold a verifier award.

4.2. 25 lecturers are expected to commence verifier awards at the start of the next academic year which, if all staff achieve the awards, will raise our figures to 81% which also exceeds the targets (70%) set by the HR Committee in 2015.

5. Other Professional Qualifications Supported by Organisational Development

5.1. 32 new lecturers have been supported to undertake the Teaching in Colleges Today induction module which is certificated by College Development Network but taught within the Organisational Development Team. 94% of candidates are expected to achieve this award by the end of the academic year.

5.2. 12 lecturers have been supported through the BA in Professional Development (BAPD) which has been undertaken at the University of Aberdeen. 5 of these are due to graduate this summer, the remainder have completed the first part of the BAPD as an entry point to TQFE and will graduate when they complete their TQFE in summer 2017.
5.3. During the past academic year two guidance tutors have commenced the Post Graduate Certificate in Guidance and Pastoral Care with the University of Aberdeen. Both have successfully completed the first module and will be continuing with their award in September 2016. A further two Guidance Tutors are expected to commence the award in September 2016.

5.4. Staff have completed certificated programmes run by the College Development Network including the PDA in Inclusiveness and the Developing Leaders Programme.

5.5. A number of staff have also undertaken qualifications run within the College including the Foundation Diploma in Human Resources Practice, ECDL and HNC programmes in Mechanical Engineering Practice, The Built Environment and Administration and IT.

6. **Other Major Activity in 2015-16**
   6.1. The College achieved Investors in People (IiP) accreditation at Silver in December 2015.
   6.2. 590 staff have undertaken WRAP training
   6.3. All managers have received training on conducting Equality Impact Assessments.
   6.4. A Leadership Training programme for new managers was run between February and June for the 14 staff who had been newly appointed or promoted to leadership positions.
   6.5. A 360 Evaluation Pilot has commenced for leaders.
   6.6. Induction training has been provided for 48 new staff.
   6.7. A successful programme of training events ran on 01 February 2016.

7. **Plans for 2016-17**
   7.1. Given the continuing financial pressures, managing an effective service with a limited budget is going to be particularly challenging. Whilst mandatory external programmes such as the TQFE will still need to go ahead, and staff will need to attend short courses externally to keep up to date with developments in their vocational area and in teaching and learning, the bigger focus will be on internal facilitation.
   7.2. The Leadership Development programmes will be extended. The programme for newly promoted leaders will commence again in September and the Leadership Development Pilot will be extended to include other groups.
   7.3. The College will adopt a coaching approach for leadership development which will involve training leaders in coaching skills.
   7.4. Training in project management, budget management and other leadership management skills will be implemented with these programmes being internally facilitated where practicable.
   7.5. The profile of Performance Review will be raised to encourage more line managers to meet with and provide feedback to their staff.
   7.6. A series of short skills development sessions will be implemented to assist lecturers with issues such as lesson planning and questioning techniques
   7.7. The mentoring programme will be re-launched with staff identified and trained to support new colleagues.
7.8. Work will continue on the PG action plan. Yearly visits are to take place from November 2016 which will allow us to monitor progress against our targets as we work towards achieving accreditation at Gold within the next two years.

7.9. Investment will continue to ensure that mandatory training in areas such as Safeguarding, Health and Safety and Equality and Diversity is maintained. In addition training will be sourced to support key staff manage business continuity in the event of incidents which might disrupt services.

8. Recommendation
8.1. It is recommended that the Committee note the contents of this report.

Rob Wallen
Principal

Elaine Hart
Vice Principal Human Resources
Outcome of the Internal Audit of Human Resources

1. Introduction
   1.1 The purpose of this paper is to provide information on the outcome of the Internal Audit of Human Resources which took place in May 2016.

2. Background
   2.1 Over the last 18 months internal audit has conducted 4 reviews covering several different aspects of HR and Payroll. In early 2015 there were substantial issues with data held within the HR/Payroll System.

   2.2 The report of the follow up audit in November 2015, stated that the organisation had endeavoured to implement the recommendations, the data was cleansed and the payroll adjustment errors were no longer occurring.

   2.3 Since September 2015 HR and HR Payroll have worked hard to establish robust procedures relating to new starts, leavers and all adjustments within the payroll which fall within their areas of responsibility.

   2.4 The audits during 2015 were joint HR and Payroll audits. The audits which have just taken place in May are separated into HR functions and Payroll functions.

   2.5 To clarify, in September 2015 it was agreed that the segregation of Payroll duties would be that HR Payroll in Aberdeen would undertake all adjustments to the payroll apart from expenses and timesheets which continued to be processed by Finance at Fraserburgh. Finance at Fraserburgh also continued to be responsible for the final processing of the payroll and audit checking.

   2.6 This paper, therefore, is focusing purely on the Internal Audit of Human Resources attached at Appendix 1.

3. Outcome of HR Audit and Actions Going Forward
   3.1 Areas of good practice which have been highlighted are recruitment, where the e-recruitment system and procedures have been fully implemented and that new starts are being processed accurately in a timely manner.

   3.2 Of the recommendations made, none are graded “high” with two “medium” and four “low”.

   3.3 The areas of “medium” graded recommendations refer to the new probationary policy and the timing of notification of IT for leavers. The IT notification issue is now resolved and the probationary and induction procedures are under review.

   3.4 It is also worth highlighting that for the four remaining “low” graded priorities there are actions in place to resolve or they have already been resolved.

4. Recommendation
   4.1 It is recommended that the Committee note the contents of this report.

Rob Wallen    Elaine Hart
Principal    Vice Principal Human Resources
North East Scotland College

Internal Audit 2015-16

-human resources-

May 2016

Overall Conclusion

Substantial
## TABLE OF CONTENTS

- EXECUTIVE SUMMARY .......................................................................................................................... 2
- BENCHMARKING ........................................................................................................................................ 6
- DETAILED RECOMMENDATIONS ........................................................................................................ 7
- OBSERVATIONS ......................................................................................................................................... 14
- AUDIT ARRANGEMENTS ....................................................................................................................... 15
- KEY PERSONNEL ...................................................................................................................................... 16
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  - GRADING STRUCTURE .......................................................................................................................... 18
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The matters raised in this report come to our attention during the course of our audit and are not necessarily a comprehensive statement of all weaknesses that exist or all improvements that might be made. This report has been prepared solely for North East Scotland College’s individual use and should not be quoted in whole or in part without prior written consent. No responsibility to any third party is assumed.

We emphasise that the responsibility for a sound system of internal control rests with management and work performed by internal audit should not be relied upon to identify all system weaknesses that may exist. Further, internal audit must be treated as an integral part of internal controls by management. If internal audit should not be relied upon to identify all system weaknesses that may exist, additional internal control measures must be adopted to detect any weaknesses that can be identified.

Every sound system of control may not be proof against collusive fraud. Internal audit procedures are designed to focus on areas that are considered to be of greatest risk and significance. Despite our internal audit staff’s best efforts, breaches of internal controls may occur. To identify all circumstances of fraud, an internal audit report should therefore be submitted to the Board of Management.

Every sound system of internal control must be treated as an integral part of internal controls by management. If internal audit should not be treated as an integral part of internal controls by management, this internal audit report should not be relied upon to identify all system weaknesses that may exist. Additional internal control measures must be adopted to detect any weaknesses that can be identified.
EXECUTIVE SUMMARY

Overview

Purpose of Review
The purpose of this review is to consider whether the College’s arrangements for Human Resources are appropriate. This review will seek to provide assurance to the board, via the audit committee, that the systems in place are adequate and enable efficient and effective operation of the College’s HR function.

Scope of Review
This assignment is part of the agreed 2015/16 Annual Internal Audit Plan for the College. The College’s HR function, this assignment is part of the agreed 2015/16 Annual Internal Audit Plan for the College.

Our objectives for this review were to ensure:

- Only current employees have access to the organisation’s premises and systems.
- The data held in the organisation’s payroll system is consistent with that held by HR.
- All staff are aware of the organisation’s HR policies and the terms and conditions of their employment.
- Senior management are regularly provided with relevant information that aids decision making.
- The most suitable candidate is appointed during the recruitment process.
- Personal files contain accurate, relevant and up to date information.
- Severance packages have been calculated in accordance with the terms of the scheme.
- Employees are provided with opportunities to develop and progress within their role.

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- The data held in the organisation’s payroll system is consistent with that held by HR.
- All staff are aware of the organisation’s HR policies and the terms and conditions of their employment.
- Senior management are regularly provided with relevant information that aids decision making.
- The most suitable candidate is appointed during the recruitment process.
- Personal files contain accurate, relevant and up to date information.
- Severance packages have been calculated in accordance with the terms of the scheme.
- Employees are provided with opportunities to develop and progress within their role.
Our approach to this assignment took the form of discussion with relevant staff, review of documentation and where appropriate sample testing.

There is no limitation of scope.

Limitation of Scope
As can be seen from the above table, there were no recommendations made which we have given a grading of high.

<table>
<thead>
<tr>
<th></th>
<th>High</th>
<th>Medium</th>
<th>Low</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Resources</td>
<td>0</td>
<td>2</td>
<td>4</td>
<td>6</td>
</tr>
</tbody>
</table>

Summary of Recommendations:

Overall Conclusion: Substantial.

Recommendations made:

Controls were found to be satisfactory although some weaknesses have been identified. Recommendations for improvement have been made.
**EXECUTIVE SUMMARY**

North East Scotland College

**Human Resources**

**Areas of Good Practice**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Through sample testing we can confirm that new starts are being processed accurately and in a timely manner.</td>
<td></td>
</tr>
<tr>
<td>2. The College have a comprehensive recruitment and selection policy in place. Through sample testing we can confirm that this policy is being adhered to.</td>
<td></td>
</tr>
</tbody>
</table>

The following is a list of areas where the Organisation is operating effectively and following good practice.
Benchmarking

We include for your reference comparative benchmarking data of the number and ranking of recommendations made for audits of a similar nature in the most recently finished internal audit year.

From the table above it can be seen that the College has a similar number of recommendations compared to those colleges it has been benchmarked against.

<table>
<thead>
<tr>
<th></th>
<th>Low</th>
<th>Medium</th>
<th>High</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>North East Scotland College</td>
<td>2</td>
<td>4</td>
<td>0</td>
<td>6</td>
</tr>
<tr>
<td>North East Scotland College at North East</td>
<td>1</td>
<td>4</td>
<td>1</td>
<td>6</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>Low</strong></td>
<td><strong>Medium</strong></td>
<td><strong>High</strong></td>
<td><strong>Total</strong></td>
</tr>
</tbody>
</table>

Human Resources

2 Benchmarking
3 DETAILED RECOMMENDATIONS

Staff Inductions and Probationary Period

<table>
<thead>
<tr>
<th>Finding and Risk</th>
<th>Grade</th>
<th>Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Medium</td>
<td>We recommend that the college ensure all staff are fully induced in line with the staff probation policies.</td>
</tr>
</tbody>
</table>

The college’s staff probation policy states that line managers must meet with new staff on 3 occasions during their probationary period. For all staff, reviews have taken place. We also noted that 1 employee from a tested position had not completed the 6-month probationary period, did not receive a formal review and later confirming their completion. We also noted that 9 out of 10 staff have not completed their staff induction programme. Line managers must ensure all staff are fully indocated in line with the Staff Probationary Policy. A project has been set up to map current processes to develop a more streamlined system.

Management Response

Responsible Officer: Vice Principal HR

Implementation Date: August 2016

A Project has been set up to map current processes to develop a more streamlined system.

Going forward the aim would be to incorporate a streamlined process into the proposed system.

A Project has been set up to map current processes to develop a more streamlined system.

Responsibility and Implementation date:

A Project has been set up to map current processes to develop a more streamlined approach between HR, OD and line managers using current on-line system.

The aim would be to incorporate a streamlined process into the proposed system.

Going forward the aim would be to incorporate a streamlined process into the proposed system.
<table>
<thead>
<tr>
<th>Recommendation</th>
<th>Grade</th>
<th>Finding and Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.</td>
<td>Medium</td>
<td>Through our sample testing we identified 6 from 10 staff leavers for whom HR notified IT after the leaving date. An employee’s leaving date was entered in the system. HR and IT are investigating the possibility of a flag in Teamspirit that will notify IT of an employee’s leaving date when put into the system.</td>
</tr>
</tbody>
</table>
### Detailed Recommendations

**Grade:** Low

<table>
<thead>
<tr>
<th>Recommendation</th>
<th>Finding and Risk</th>
<th>Management Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Future contracts will clearly state that a member of staff is not legally required to sign their contract.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. As stated above contracts are being reviewed to make them more transparent and easier to understand. Further to this we identified 4 contracts of employment which showed salaries from the previous Aberdeen College scale points. However, the contracts were not signed by the employee and recommendations have been put in place to ensure this does not occur in the future.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Through our sample testing we identified 10 from 20 contracts that were not signed by the employee and further to this we identified 4 contracts of employment which showed salaries from the previous Aberdeen College scale points. However, the contracts were not signed by the employee and recommendations have been put in place to ensure this does not occur in the future.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

**Notes:**
- Contracts will continue to be reviewed as National Bargaining is implemented.
- Employee Contracts Ref.
- Finding and Risk
- Grade
- Recommendation
- Implementation Date: 15/06/16 for point one.

---

**Responsible Officer:** Vice Principal HR

---

**Management Response**

1. Future contracts will clearly state that a member of staff is not legally required to sign their contract.

2. As stated above contracts are being reviewed to make them more transparent and easier to understand. Further to this we identified 4 contracts of employment which showed salaries from the previous Aberdeen College scale points. However, the contracts were not signed by the employee and recommendations have been put in place to ensure this does not occur in the future.

---

**Academic Year 16/17**

- Contracts for all staff as it is felt there is a need for the current contracts with an aim to produce new updated contracts for all staff.

---

**Implementation Date:**

- 15/06/16 for point one.
- Academic Year 16/17 for point two.
## Staff Appraisals

### Grade

<table>
<thead>
<tr>
<th>Finding and Risk</th>
<th>Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low</td>
<td></td>
</tr>
</tbody>
</table>

### Grade 4

<table>
<thead>
<tr>
<th>Finding and Risk</th>
<th>Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interim.</td>
<td></td>
</tr>
</tbody>
</table>

### Grade 10

<table>
<thead>
<tr>
<th>Finding and Risk</th>
<th>Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Through our sample testing we identified 3 from 10 staff who have not had an appraisal since 2013/14.</td>
<td></td>
</tr>
</tbody>
</table>

### Recommendation

- Monitoring of Performance Review will follow on a regular basis.
- Remind all staff who have not completed either set of documents will be sent a
  reminder.
- Any managers who have not completed either set of documents will be sent an
  reminder.
- Organisational Development will audit the completion of final reviews for
  2015/16 and the creation of new documents to set objectives for staff reporting to
  them.
- Communication notes on using the electronic system will be issued and
  deadlines will be clarified.
- Communication will be sent to all managers before the end of June reminding
  them of the requirement to carry out Performance Reviews for staff reporting to
  them.
- Monitoring of Performance Review will follow on a regular basis.

### Management Response

<table>
<thead>
<tr>
<th>Responsible Officer</th>
<th>Vice Principal HR</th>
</tr>
</thead>
</table>

- Communication will be sent to all managers before the end of June reminding
  them of the requirement to carry out Performance Reviews for staff reporting to
  them.
- Monitoring of Performance Review will follow on a regular basis.

### Implementation Date

- Immediate with first audit to take place week commencing 24th October 2016.
- Implementation Date: Immediate with first audit to take place week commencing 24th October 2016.
3. Through our review we noted that 2 from 30 personnel files reviewed had data stored in them that the College carry out regular audits on personnel files to ensure the information stored is accurate and relevant.

4. Taking electronic HR filing forward is an integral part of the proposal for a new HR System. It is not possible to produce and store documents solely electronically.

5. With regards to duplication of work this point is agreed, however with the current management of personnel files, possible to allow ease of access and centralising all personnel files into one location; however, the College should consider which electronic filing system could possibly be used.

<table>
<thead>
<tr>
<th>Finding and Risk</th>
<th>Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Low</strong></td>
<td></td>
</tr>
</tbody>
</table>

5. We recommend that the College carry out regular audits on personnel files to ensure the information stored is accurate and relevant.

<table>
<thead>
<tr>
<th>Responsible Officer: Vice Principal HR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management Response</td>
</tr>
<tr>
<td>1. HR Team will be reminded of the importance of attention to detail and the requirement for information to be filed correctly.</td>
</tr>
<tr>
<td>2. Historically files have been held in hard copy at two sites this has now been harmonised onto one site. Going forward we aim to move towards electronic files.</td>
</tr>
<tr>
<td>3. With regards to duplication of work this point is agreed, however with the current management of personnel files, possible to allow ease of access and centralising all personnel files into one location; however, the College should consider which electronic filing system could possibly be used.</td>
</tr>
</tbody>
</table>

**Implementing Date:** Point 1 15/06/2016

<table>
<thead>
<tr>
<th>Point 2 &amp; 3 Ongoing</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Graded:</strong></td>
</tr>
<tr>
<td><strong>Ref:</strong></td>
</tr>
</tbody>
</table>

**Human Resources North East Scotland College**
HR/Payroll system. In the interim, improvements will be made where possible but duplication will continue until we can ensure availability and security of information.
### Detailed Recommendations

<table>
<thead>
<tr>
<th>Finding and Risk</th>
<th>Grade</th>
<th>Responsible Officer: Vice Principal HR</th>
<th>Management Response</th>
<th>Implementation Date: 31 December 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>HR Policies Outdated</td>
<td>Low</td>
<td>Through our review we identified that there are 3 Human Resources policies currently due for review.</td>
<td>The rolling schedule for policy updates has been implemented to ensure that policies are reviewed timely.</td>
<td>Policies will be fully reviewed by 31 December 2016.</td>
</tr>
<tr>
<td>Paternity Policy</td>
<td></td>
<td>Management response:</td>
<td>The Paternity Policy was available but had not been uploaded.</td>
<td></td>
</tr>
<tr>
<td>Responsibility and Implementation date</td>
<td></td>
<td>The Paternity Leave Policy (August 2013) and Paternity Leave Policy (July 2014)</td>
<td>The Paternity Leave Policy (August 2013) and Maternity Leave Policy (July 2014) will be reviewed in May 2016.</td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td></td>
<td>Responsible Officer:</td>
<td>VP HR</td>
<td></td>
</tr>
</tbody>
</table>
The following is a list of observations from our review:

1. Please refer to our Payroll Review from May 2016 for the data security issues raised around the TeamSpirit HR and Payroll System.
The table below details the actual dates for our fieldwork and the reporting on the audit area under review. The timescales set out below will enable us to present our final report at the next Audit Committee meeting.

<table>
<thead>
<tr>
<th>Date</th>
<th>Audit stage</th>
<th>Number of audit days</th>
</tr>
</thead>
<tbody>
<tr>
<td>19 July 2016</td>
<td>Audit Committee</td>
<td></td>
</tr>
<tr>
<td>27 May 2016</td>
<td>Closing meeting</td>
<td></td>
</tr>
<tr>
<td>16 May 2016</td>
<td>Fieldwork start</td>
<td></td>
</tr>
<tr>
<td>10 June 2016</td>
<td>Draft report issued</td>
<td></td>
</tr>
<tr>
<td>TBC</td>
<td>Receipt of management responses</td>
<td></td>
</tr>
<tr>
<td>TBC</td>
<td>Final report issued</td>
<td></td>
</tr>
</tbody>
</table>

5 AUDIT ARRANGEMENTS

North East Scotland College

Human Resources

www.wylibisset.com 15
We detail below our staff who will undertake the review together with the organisation staff we shall require to speak to during our review.

### Key Personnel

<table>
<thead>
<tr>
<th>Key Contact</th>
<th>Role</th>
<th>Email Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kimra Donnelly</td>
<td>Head of HR</td>
<td><a href="mailto:k.donnelly@nescol.ac.uk">k.donnelly@nescol.ac.uk</a></td>
</tr>
<tr>
<td>Elaine Hart</td>
<td>Vice Principal Human Resources</td>
<td><a href="mailto:e.hart@nescol.ac.uk">e.hart@nescol.ac.uk</a></td>
</tr>
<tr>
<td>Roddy Scott</td>
<td>Vice Principal - Finance</td>
<td><a href="mailto:r.scott@nescol.ac.uk">r.scott@nescol.ac.uk</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Key Contact</th>
<th>Role</th>
<th>Email Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Roddy Scott</td>
<td>Manager</td>
<td><a href="mailto:graham.gillespie@wyliebisset.com">graham.gillespie@wyliebisset.com</a></td>
</tr>
<tr>
<td>Ricky Meechan</td>
<td>Lead Auditor</td>
<td><a href="mailto:r.meechan@wyliebisset.com">r.meechan@wyliebisset.com</a></td>
</tr>
<tr>
<td>Graham Gillespie</td>
<td>Manager</td>
<td><a href="mailto:gillespie@wyliebisset.com">gillespie@wyliebisset.com</a></td>
</tr>
<tr>
<td>Ross McLauchlan</td>
<td>Partner</td>
<td><a href="mailto:ross.mclauchlan@wyliebisset.com">ross.mclauchlan@wyliebisset.com</a></td>
</tr>
</tbody>
</table>

Wylie & Bisset appreciates the time provided by all the individuals involved in this review and would like to thank them for their assistance and co-operation.
For each area of review we assign a level of assurance in accordance with the following classification:

<table>
<thead>
<tr>
<th>Classification</th>
<th>Assurance</th>
</tr>
</thead>
<tbody>
<tr>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Weak</td>
<td>No or very limited controls in place leaving the system open to significant error or abuse, recommendations made require to be implemented immediately.</td>
</tr>
<tr>
<td>Substantial</td>
<td>Controls largely satisfactory although some weaknesses identified, recommendations for improvement made.</td>
</tr>
<tr>
<td>Strong</td>
<td>Controls satisfactory, no major weaknesses found, no or only minor recommendations identified.</td>
</tr>
</tbody>
</table>

**GRADING STRUCTURE**

- North East Scotland College
- Human Resources

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**North East Scotland College**

**Human Resources**
For each recommendation we assign a grading either as High, Medium or Low priority depending on the degree of risk assessed as outlined below:

<table>
<thead>
<tr>
<th>Grading</th>
<th>Classification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low</td>
<td>Minor Issue or weakness reported where management may wish to consider our recommendation.</td>
</tr>
<tr>
<td>Medium</td>
<td>Significant issue or weakness which should be addressed by the organisation as soon as possible.</td>
</tr>
<tr>
<td>High</td>
<td>Major weakness that we consider needs to be brought to the attention of the Audit Committee and addressed by senior management of the organisation as a matter of urgency.</td>
</tr>
</tbody>
</table>
Purpose of Review

The purpose of this review is to consider whether the College’s arrangements for human resources are appropriate. This review will seek to provide assurance to the Board, via the Audit Committee, that the systems in place are adequate and enable efficient and effective operation of the College’s HR function.

Scope of Review

Our objectives for this review are to ensure:

Ø New employees receive a comprehensive induction on the commencement of their employment at the organisation.

Ø Employment at the organisation.

Ø The relevant pre-employment checks (right to work, DBS, references etc.) have been undertaken prior to any new employee commencing their employment at the organisation.

Ø The relevant pre-employment checks (right to work, DBS, references etc.) have been undertaken.

Ø Our objectives for this review are to ensure:

Ø The organisation has a complete suite of (up to date) HR policies which have been agreed by staff (or their representatives) and are readily available to all members of staff.

Ø The organisation has a complete suite of (up to date) HR policies which have been agreed by staff (or their representatives) and are readily available to all members of staff.

Ø The information used by payroll (salary, pay grade, spinal point, working hours/weeks, FTE) is accurate and consistent official source documentation and HR records (contract of employment etc.).

Ø A contract of employment, signed by both the organisation and the employee, is in place for each employee at the organisation.

Ø Personel files are properly maintained and contain accurate, relevant and the most up to date information.

Ø HR records are held securely and in accordance with the requirements of the Data Protection Act (and other applicable legislation).

Ø HR records are held securely and in accordance with the requirements of the Data Protection Act (and other applicable legislation).

Ø Recruitment procedures are robust and as well as ensuring that the most suitable candidate is employed, ensure that a fair and transparent recruitment process is undertaken.

Ø Recruitment procedures are robust and as well as ensuring that the most suitable candidate is employed, ensure that a fair and transparent recruitment process is undertaken.

Ø New employees receive a comprehensive induction on the commencement of their employment at the organisation.
Human Resources
North East Scotland College

Assignment Plan

Review of the organisation's recruitment processes.

Review of the staff performance and development programme.

Review of the policies and procedures of the human resources department.

Discussion with staff involved to establish the current arrangements in place for human resource management.

Our approach to the review has been:

Audit Approach

There is no limitation of scope.

Limitation of Scope

Our approach to this assignment took the form of discussion with relevant staff, review of documentation and where appropriate sample testing.

Review of the organisation's recruitment processes.

Review of the performance management and development arrangements in place for human resource management.

Discussion with staff involved to establish the current arrangements in place for human resource management.

Review of the organisation's severance policy which clearly sets out the arrangements in place for remunerating in the event of severance/early departure.

The organisation has a formally documented severance policy in place which clearly sets out the arrangements in place for remunerating in the event of severance/early departure.

Management (executive and board level) are provided with relevant and meaningful information, which aids decision making, on a regular basis.

The organisation has robust performance management and development arrangements in place. All employees of the organisation are subject to the performance management and development arrangements in place. All employees are fully aware of their performance management arrangements.

Leavers are properly and timely removed from the organisation's systems on the termination of their employment.
The potential key risks associated with the area under review are:

- Employees do not hold the necessary driving licence entitlements or appropriate insurance cover to use personal vehicles for organisation business.
- Personnel files are not kept up to date and do not contain all necessary documentation.
- The organisation has not correctly applied the terms of their severance schemes resulting in incorrect payments to former employees.
- The organisation has not paid all their potential and the organisation therefore do not get the most out of them.
- Policies and procedures covering staff terms, conditions, absence and sickness, discipline and grievances etc. are not applied consistently resulting in potential legal action against the organisation.
- Management do not receive relevant information and as a result poor decisions are made.
- Unsuitable candidates are appointed during the recruitment process.
- Policies and procedures covering staff terms, conditions, absence and sickness, discipline and grievances etc. are not applied consistently resulting in potential legal action against the organisation.
- Data held in the payroll system is not accurate resulting in errors in the payroll process.
- Employees do not fulfil their potential and the organisation therefore do not get the most out of them.
- Personnel files are not kept up to date and do not contain all necessary documentation.