

**Glasgow Clyde College**

**Staff Development**

**Internal Audit Report No: 2017/02**

**Draft Issued: 9 February 2017**

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**Final Issued:**

**LEVEL OF ASSURANCE**

**Satisfactory**

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### Level of Assurance

In addition to the grading of individual recommendations in the action plan, audit findings are assessed and graded on an overall basis to denote the level of assurance that can be taken from the report. Risk and materiality levels are considered in the assessment and grading process as well as the general quality of the procedures in place.

Gradings are defined as follows:

<b>Good</b>	System meets control objectives.
<b>Satisfactory</b>	System meets control objectives with some weaknesses present.
<b>Requires improvement</b>	System has weaknesses that could prevent it achieving control objectives.
<b>Unacceptable</b>	System cannot meet control objectives.

### Action Grades

<b>Priority 1</b>	Issue subjecting the College to material risk and which requires to be brought to the attention of management and the Audit Committee.
<b>Priority 2</b>	Issue subjecting the College to significant risk and which should be addressed by management.
<b>Priority 3</b>	Matters subjecting the College to minor risk or which, if addressed, will enhance efficiency and effectiveness.



## 1. Overall Level of Assurance

### Satisfactory

System meets control objectives with some weaknesses present.

## 2. Risk Assessment

This review focused on the controls in place to mitigate the following risk on Glasgow Clyde College's (the College's) Risk Register:

- Failure to recruit and retain appropriate staff / high absence rate / skill shortages / loss or absence of key staff members (net risk score: 12).

## 3. Background

As part of the Internal Audit programme at the College for 2016/17 we reviewed the systems and key internal controls in place in the College in relation to staff development. Our Audit Needs Assessment, completed in March 2016, identified this as an area where risk can arise and where internal audit can assist in providing assurances to the Board of Management and the Principal that the related control environment is operating effectively, ensuring risk is maintained at an acceptable level.

Within the College sector recruitment and retention of key staff is of vital importance. The College must ensure that it has the organisational capacity to implement its strategic plans and make full use of the abilities of its staff. It should therefore explicitly relate its staffing requirements to its strategic and operational objectives in terms of numbers, skills, knowledge, deployment, structure, etc.

The College should ensure that all staff are managed effectively and efficiently. Managers should communicate business priorities and objectives to staff and ensure that those objectives are translated into tasks that teams and individuals undertake. Staff should know what is expected of them, their performance should be regularly assessed and they should be assisted in improving their performance.

## 4. Scope, Objectives and Overall Findings

The scope of the audit was to consider whether the College is making best use of its staff and included a review of: workforce planning; training; personal development plan systems; and succession planning.

The table below notes each separate objective for this review and records the results:

## 4. Scope, Objectives and Overall Findings (continued)

Objective	Findings				Actions already planned
		1	2	3	
<b>The specific objectives of the audit were to obtain reasonable assurance that:</b>		<b>No. of Agreed Actions</b>			
1. The College has a systematic approach for ensuring that its staff resources match what is required in order to deliver its commitments. Where gaps are identified, timely action is taken to close these.	Good	0	0	0	✓
2. The College's approach to training, including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps.	Satisfactory	0	0	2	✓
3. The College has a systematic approach to evaluating its training to ensure that it is achieving the desired impact.	Good	0	0	0	
4. There is a systematic approach for translating business objectives into actions / tasks for members of staff.	Satisfactory	0	0	1	✓
5. A systematic approach is used for communicating objectives and performance expectations to staff.	Satisfactory	0	0	0	
6. A systematic process is used for providing feedback to staff on performance and agreeing action to improve performance.	Good	0	0	0	
7. There is a systematic approach for ensuring that the College makes full use of the skills and knowledge of its staff.	Good	0	0	0	
8. Appropriate succession planning strategies, action plans and monitoring arrangements are in place within the College.	Good	0	0	0	
<b>Overall Level of Assurance</b>	<b>Satisfactory</b>	<b>0</b>	<b>0</b>	<b>3</b>	
System meets control objectives with some weaknesses present					

## 5. Audit Approach

The Assistant Principal, Human Resources, the Organisational Development Manager, Organisational Development staff, and a further sample of Assistant Principals, were interviewed and the College's policies, procedures and structure were reviewed to assess compliance with the above objectives. Where applicable, sample testing was carried to ensure compliance with College procedures.



## 6. Summary of Main Findings

### Strengths

- The College continually monitors student numbers to ensure that sufficient staff resources are attached to each course.
- The College has dedicated Learning and Development (L&D) Officers within the Organisational Development team who coordinate training, development and mentoring activities delivered across the College.
- The College provides a good range of learning and development opportunities for staff, some of which exceed those offered by other colleges in the sector. For example, the Professional Development Sponsorship and Bridge the Gap programmes.
- Staff have access to a suite of online training modules which provides them with flexible opportunities for learning and development.
- The College is in the initial stages of developing a Work Force Planning model and a formal analysis of senior staff across the College has been undertaken, which will be used to inform succession planning.
- L&D staff have recently worked with colleagues in the Estates department to produce a training needs matrix which identifies the training required for each post within Estates. The process of identifying the training requirements for each post demonstrates good practice and the College should consider adopting this approach in other areas.
- There is a systematic approach to the evaluation of training delivered.
- There are a range of mechanisms in place to communicate the College's objectives to departments and to staff and to review departmental and College performance.

### Weaknesses

- Although guidance is available to staff on the Personal Development Planning process, and information is available on a range of learning and development activities, the College has not established an overarching staff training and development policy which sets out the College's aims and objectives or outlines the responsibilities of staff, line managers, senior management and the Board of Management in relation to staff training.
- There has been no mandatory requirement for staff to complete a Personal Development Plan since merger; although it is envisaged that all staff will undertake the process during 2017.
- The College does not make use of skills databases (at either an organisational level or at a departmental level) which can be used to identify any skills or knowledge gaps in departments / amongst staff. We recommend that the College considers conducting a training needs assessment to identify the basic training and skills requirement associated with each established post. The data obtained from the training needs assessment should then be used to populate iTrent, which will allow L&D staff and management to identify training gaps.
- For a sample of Personal Development Plans reviewed we noted that there is no clear linkage between the training needs identified on the plans and the Faculty / department or College Development Plan objectives. We also found that insufficient detail was provided on the expected outcomes and method of delivery recorded in a number of the plans we reviewed. Personal Development Plan guidance is available to staff, which details the purpose and format of the review meetings. However, there is no guidance made available, to either staff or managers, on how the review meetings should be conducted. The Organisational Development team are currently in the process of refreshing the Personal Development Planning process.

## 7. Acknowledgements

We would like to take this opportunity to thank the staff at the College who helped us during the course of our audit visit.



## 8. Findings and Action Plan

**Objective 1: The College has a systematic approach for ensuring that its staff resources match what is required in order to deliver its commitments. Where gaps are identified, timely action is taken to close these.**

The College continually monitors student numbers to ensure that sufficient staff resources are attached to each course. Skills gaps are filled either through redeployment of staff from other areas of the College, by supporting staff through further training or, where necessary, through external recruitment in line with the staff budget model. In recent years the College has completed a voluntary severance programme following merger and, in conjunction with the Glasgow regional colleges, has undertaken a number of regional re-organisations to ensure that the right staffing structures and capabilities are in place to meet the colleges' needs going forward.

The College has developed a curriculum planning model, which provides details of teaching staff contact time and availability. This enables senior management to identify areas of over / under staffing and to adjust staff resources where deemed necessary. The curriculum planning process includes a review of the existing portfolio and involves establishing the course mix and the staffing requirements for each. After permanent lecturing staff capacity is considered, the need for further temporary or permanent staff is identified. Human Resources (HR) staff then work with managers to identify the roles which need to be recruited for and then the recruitment process commences. This process appears appropriate.

The Assistant Principal, Human Resources is currently developing a Work Force Planning model, the details of which were recently presented to the Organisational Development Committee meeting on 24 January 2017. The proposed model consists of five development stages and the College is currently at stage two which involves analysing the current work force profile, including the structure, demographics, skills and competencies. A target timescale of May 2017 has been set for the model to be finalised which will feed into the curriculum planning process for the 2017/18 academic session. It is our understanding that details of the proposed model have been shared with Glasgow Kelvin and City of Glasgow colleges and both have expressed an interest in adopting it. We view this as an example of good practice of collaborative working and would help to achieve uniformity across the assigned colleges.

**Objective 2: The College's approach to training, including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps.**

The skills of new staff are considered during recruitment to ensure that they have adequate skills for undertaking their role. All permanent teaching staff are required to undertake a teaching qualification, either the Teaching Qualification Further Education or a suitable Professional Development Award. If new staff do not possess a teaching qualification the College will support staff to achieve this.

All new staff must complete a mandatory induction programme, which consists of online training modules covering health and safety, College policies, general use of IT, etc. Staff login to the online modules is notified automatically to the Learning and Development (L&D) team, who in turn record the activity in the employees' training records held in the iTrent integrated HR and payroll system. Induction also includes a general session from L&D staff and a departmental induction provided by the staff member's line manager. During induction new staff are required to discuss their training and developments needs with their line manager and these are notified to L&D.

Training needs can also be identified by individual staff members or managers as part of the annual Personal Development Planning process or at any time during the year. It should be noted that there has been no mandatory requirement for staff to complete a Personal Development Plan since merger although it is envisaged that all staff will undertake the process during 2017.

Our review noted that the College provides a good range of learning and development opportunities for staff, including:

- the College offers six days of structured Continuing Professional Development (CPD) activity each year to all staff;
- staff are provided access to a suite of online learning modules;
- staff have access to the College Virtual Learning Environment where they can find training information and videos hosted by the L&D team;
- staff can apply to the College's Professional Development Sponsorship programme where the College will contribute to all or part of the cost of undertaking study to obtain a professional qualification;
- the L&D team organise training sessions on a range of subjects throughout the year;
- staff can apply to attend an external training course where there is a valid justification;
- staff can attend lunchtime sessions which are run by other staff to highlight areas of good practice and expertise across the College;
- teaching staff can apply to undertake the Professional Development Award in Teaching Practice or Teaching Qualification Further Education and a mentoring structure is in place to support this;
- through the 'Bridge the Gap' scheme run by the College staff earning less than £20,000 per annum (and who do not already possess a degree) can apply to take a year out in order to study towards a qualification;

- costs of refresher training are paid for by the College and teaching staff can access up to 12 hours of professional refresher training each year; and
- an Exceptional Leaders Development Programme is in place for managers.

**Objective 2: The College's approach to training, including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps (continued).**

The iTrent system contains information on each member of staff's qualifications and training. L&D staff can review this information to ensure that staff across the College have the appropriate qualifications for their role or receive training to allow them to obtain this. The data held for teaching staff is used to inform curriculum planning decisions. The iTrent system is currently being developed to allow managers and staff access to iTrent to enable them to update their own training records. It is expected that this service will be available from June 2017. Once in place this should allow managers a systematic means of identifying staff qualifications across the College, to assist in identifying training gaps.

The College supports employees with their Personal Development Planning. Annually staff are given the opportunity to attend a meeting with their line manager and are encouraged to identify opportunities that will allow them to fully develop within their role, e.g. formal training or qualifications, on-the-job training, shadowing. The Personal Development Plan meeting focuses on the immediate and long term development requirements of the employee and development plan is put in place to achieve this.

Observation	Risk	Recommendation	Management Response
Although guidance is available to staff on the Personal Development Planning process, and information is available on a range of learning and development activities, the College has not established an overarching staff training and development policy which clearly outlines the College's aims and objectives or outlines the responsibilities of staff, line managers, senior management and the Board of Management in relation to staff training.	The College's policy and ethos on training is not clearly communicated resulting in variations in approach across the College.	<p><b>RI</b> Consider establishing a Staff Training and Development Policy which outlines:</p> <ul style="list-style-type: none"> <li>the L&amp;D scope, aims and responsibilities;</li> <li>options for learning and development;</li> <li>how training and development is prioritised;</li> <li>specific areas of learning which are essential for all staff;</li> <li>responsibilities in terms of recording, monitoring and evaluating learning; and</li> </ul>	<p>College Policies are overarching in nature and set at Board level. Staff Development is currently covered through the existing Continuing Professional Development Policy. Such a detailed 'Policy' as suggested would not fit within the College Policy framework</p> <p>This recommendation will, however, be taken account of within the development and practice of and the L&amp;D process.</p>

		<ul style="list-style-type: none"><li>Personal Development Planning arrangements.</li></ul>	<b>To be actioned by:</b> Gillian Crankshaw  <b>No later than: March 17</b>	
			<b>Grade</b>	<b>3</b>

**Objective 2: The College's approach to training, including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps (continued).**

Observation	Risk	Recommendation	Management Response
<p>The College does not make use of skills databases at either an organisational level (i.e. through Organisational Development) or at a departmental level which can be used to identify any skills or knowledge gaps in departments / amongst staff.</p> <p>Our review noted that the identification and recording of training needs across the College is currently a largely manual (and therefore less efficient) process. L&amp;D staff are required to analyse employee Personal Development Plans to identify training needs, which are then scrutinised to determine if there is a business justification for the training. This relies on L&amp;D staff maintaining an understanding of staff roles or seeking clarification from line managers on the need for specific training. Once training has been provided, L&amp;D staff must add training records into iTrent manually based on a review of several different records, such as course attendance sheets and training application forms.</p> <p>L&amp;D staff have recently worked with colleagues in the Estates department to produce a training needs matrix that identifies the training required for each post within Estates. This will be used by Estates to track the training received, where training is required and when it is next due. The process of identifying the training requirements for each post demonstrates good practice and should be implemented in other areas of the College. However, this process does not allow L&amp;D to identify what the</p>	<p>Information is not available to identify where training requirements or skills gaps exist.</p>	<p><b>R2</b> Consider conducting a training needs assessment across the College to identify the basic training and skills requirement associated with each post. The data obtained from the training needs assessment should then be used to populate iTrent, which will allow L&amp;D and management to identify training gaps as staff training records are updated.</p>	<p>There is a comprehensive in house training and skills programme available for both new and experienced lecturing staff. These programmes are matched against the nationally set learning and teaching standards and skills requirements for lecturers.</p> <p>Currently in place is the PDP process which allows staff and their line managers to identify specific gaps at a local level and these gaps are used to identify training needs which are then looked at by Organisational Development to inform the training plans for the wider college and in many cases person specific training.</p> <p>The recommendation for a more detailed approach will be considered within the</p>

training requirements of the Estates department are. L&D are only notified at the point an application for training is received or when Estates notify them that training has been delivered.			development of the Workforce Planning process, particularly in relation to non- teaching staff posts.  <b>To be actioned by:</b> Lorraine McGaw  <b>No later than:</b> May 2017		
			<table><tr><td>Grade</td><td>3</td></tr></table>	Grade	3
Grade	3				

**Objective 2: The College's approach to training, including induction training, is clearly informed by an assessment of where there are skills / knowledge / performance gaps (continued).**

Observation	Risk	Recommendation	Management Response
<p>It may be more efficient to identify a base level of training expected for each post and use this data to populate iTrent. As employee training records are added to iTrent they can then be matched to the training requirements established for each post. This could allow L&amp;D to identify skills gaps and target training to specific groups or to individual staff members. As the curriculum portfolio changes, any changes in staff skills mix should also be notified to L&amp;D to allow iTrent to be updated. This would allow L&amp;D to identify any revised training needs across the College.</p> <p>Refresher training, such as health and safety training, is currently recorded separately on spreadsheets although L&amp;D staff plan to utilise iTrent to record this information in the future. However, iTrent will be used as a historic record of training received when potentially iTrent could be utilised in a more proactive manner whereby L&amp;D could identify the refresher training due in the next 12 months. This would allow more efficient forward planning in terms of developing a training plan and associated budget.</p>	As above.	As above.	As above.



**Objective 3: The College has a systematic approach to evaluating its training to ensure that it is achieving the desired impact.**

Where staff have received training, or attended an external training event, L&D issue a link to an online survey tool used by the College to provide an evaluation of training provided. A second follow-up feedback survey is then issued six months later. The outcomes of evaluations are used by L&D and managers as the basis for planning future activity to ensure that training provision that does not impact the workplace, and is therefore ineffective, can be modified to better meet the needs of staff or withdrawn if it does not represent value for money. The impact of training on staff roles is also reviewed and discussed with line managers during the annual Personal Development Planning process.

Three day CPD events are held June each year. A CPD programme of events is developed for both events. Following the events the Organisational Development team compile an evaluation of the event which captures: attendance statistics such as places available, places booked and actual attendance; CPD sessions provided at each campus; details of CPD sessions cancelled and why; event costs; feedback from staff; and details of the most well attended training sessions.

Our review of the June 2016 CPD evaluation report noted that there was a low uptake from staff of the June 2016 event and also of previous L&D organised events. Following the evaluation report findings Organisational Development has embarked on a full review of the College's L&D strategy covering:

- the Personal Development Planning process;
- the type of learning events offered and how these were delivered across the College;
- mandatory training;
- budget spend on L&D activities;
- evaluation of programmes;
- return on investment in training activities;
- the needs analysis of training requests;
- linking L&D activities to the College Development Plan; and
- L&D provision captured on iTrent.

This review is currently ongoing and following the completion of a Self-Evaluation Review in November 2016 the Organisational Development team has identified a number SMART actions to improve L&D activities. This includes developing a new Personal Development Planning process for the 2017/18 academic year; launching a new Organisational Development portal on the staff intranet, which will provide staff access to information on L&D activities; and developing a revised induction process for new staff.



**Objective 4: There is a systematic approach for translating business objectives into actions / tasks for members of staff.**

The College's Development Plan objectives were agreed by the Board of Management and cascaded down through the Senior Management Team to each Faculty / support service team through the development of operating plans for each department that directly link into the Development Plan objectives.

Each Faculty / support service team sets its operational objectives by identifying its key aims / targets.

Our review noted that there are a range of mechanisms in place to communicate the College's objectives to departments and to staff, including:

- the Personal Development Planning process;
- regular informal one-to-one discussions held between Assistant Principals and Heads of Curriculum and other senior managers;
- the annual departmental self-evaluation review process facilitated by the College's Quality team;
- whole of Faculty meetings which are held several times a year; and
- an all staff half day event which is held annually at the start of the academic year.

Observation	Risk	Recommendation	Management Response
<p>For a sample of Personal Development Plans reviewed we noted that there is no clear linkage between the training needs identified on the plans and the Faculty / department or College Development Plan objectives. We also found that in several plans reviewed the level of detail provided on the expected outcomes and method of delivery was insufficient to allow effective monitoring.</p> <p>Personal Development Plan guidance is available to staff which details the purpose and format of the review meetings. However, there is no guidance available (for either staff or managers) on how the review meetings should be conducted. The Organisational Development team is currently in the</p>	<p>Learning and development activities are not linked to the College Development Plan objectives.</p>	<p><b>R3</b> As part of the review of the Personal Development Planning process the College should consider:</p> <ul style="list-style-type: none"> <li>• how staff learning and development actions can be more clearly linked to Faculty / departmental objectives on the Personal Development Plans; and</li> <li>• developing further guidance for staff and managers on how the Personal Development Plan interviews should be conducted and how development plans should be completed. Any</li> </ul>	<p>These recommendations will be incorporated in the new Personal Development Plans. To allow this process to be fully reviewed work will be undertaken over the summer to allow the revised process to be implemented in 17/18.</p> <p><b>To be actioned by:</b> Gillian Crankshaw</p>

process of refreshing the Personal Development Planning process.		revision to this guidance should be supported by training provided by L&D staff.	No later than: November 2017	
			Grade	3

**Objective 5: A systematic approach is used for communicating objectives and performance expectations to staff; and**

**Objective 6: A systematic process is used for providing feedback to staff on performance and agreeing action to improve performance.**

As previously noted, each member of staff is given the opportunity to attend an annual Personal Development Plan review with their line manager to discuss training and development needs. However, staff performance is not formally discussed or evaluated against previously agreed objectives other than development objectives.

As noted earlier in this report, there are mechanisms in place within the College to communicate the College's objectives to departments and to staff. There are also mechanisms in place to review departmental and College performance including:

- Fortnightly meetings between the Assistant Principals and Heads of Curriculum to discuss course performance data - such as student recruitment and student outcomes;
- Similarly Heads of Curriculum meet fortnightly with Senior Lecturers to discuss course performance data; and
- Performance data is regularly discussed by the Senior Management Team and high-level performance data is reported to Board and its committees throughout the year.

**Objective 7: There is a systematic approach for ensuring that the College makes full use of the skills and knowledge of its staff.**

From our review of iTrent we noted that there is no section that includes details of staff non-academic skills or qualifications. This limits the use of the system as a skills database. Although not formally documented we found that staff interviewed during the course of this audit demonstrated awareness of the range of skills and knowledge within their teams, and particularly those skills that may be transferrable to other areas of the College.

We discussed with L&D staff how iTrent could be developed to capture the wider skills and knowledge of staff and we noted that as part of the future launch of the self-service element of iTrent, in June 2017, staff and managers will be encouraged to update their personal record to include details of any relevant skills and knowledge that they may have. How this information is then recorded and shared in iTrent will be considered as part of future development of the system.

**Objective 8: Appropriate succession planning strategies, action plans and monitoring arrangements are in place within the College.**

Although we found that there is no formal succession strategy in place we did obtain evidence that confirms that succession planning is being managed. For example, the College has recently implemented a management development plan which provides staff with the opportunity to access training to support existing managers in their current roles or in preparation for a move into a promoted role.

As part of the development of the Work Force Planning model, HR has undertaken an analysis of the age profile of senior staff at various levels across the College, including Heads of Curriculum, Support Managers, Senior Lecturers and support staff. An analysis of temporary and permanent staff across curriculum subjects has also been performed.

The sample of Assistant Principals interviewed demonstrated that they were aware of succession issues within their teams and that these would be managed through a combination of recruitment or providing further CPD for staff. Development of the College's Work Force Planning model, future development of the iTrent system and implementation of the recommendations raised in this report may also help to strengthen the College's succession planning processes.