

# **FINANCE AND RESOURCES COMMITTEE**

**Wednesday 9 March 2022 at 4.30pm  
By Zoom**

## **FINANCE AND RESOURCES COMMITTEE**

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A meeting of the Finance and Resources Committee will be held on Wednesday 9 March 2022 at 4.30 pm

### **A G E N D A**

<b>22.01</b>	Welcome and Apologies				D Newall
<b>22.02</b>	Declarations of Interest				D Newall
<b>Minutes of Previous Meeting</b>					
<b>22.03</b>	Minute of the Finance and Resources Committee of 1 December 2021	P	D		D Newall
<b>22.04</b>	Matters Arising Action Grid	P	D		D Newall
<b>Items for Discussion</b>					
<b>22.05</b>	Financial Report year to January 2022 and Forecast to July 2022	P	ND		T Elliott
<b>22.06</b>	SFC Indicative Funding Allocation for 21-22	V	ND		T Elliott
<b>22.07</b>	Estates, Capital Expenditure and Masterplan Update	P	D		T Elliott
<b>22.08</b>	Commercial & External Funding Update	P	ND		D MacDougall
<b>22.09</b>	Restructure Update	V	ND		L McGaw
<b>22.10</b>	Key Performance Indicators	P	ND		T Elliott
<b>22.11</b>	Draft 5 year plan Update	V	ND		T Elliott
<b>Items for Formal Approval</b>					
<b>22.12</b>	Review of formal policies	P	D		K Mavor
<b>Items for Noting</b>					
<b>22.13</b>	Procurement Update	P	ND		T Elliott
<b>22.14</b>	GCEF Update	P	ND		D Newall
<b>22.15</b>	SFC Update	P	ND		J Vincent
	22.15a Letter – in year distribution of funding				
	22.15b SFC College Statistics Report				
	<a href="https://sfc.ac.uk/College-Statistics-2020-21">College Statistics 2020-21 (sfc.ac.uk)</a>				
<b>22.16</b>	College Strategic Risk Register	P	ND		J Vincent
<b>22.17</b>	Any Other Business				D Newall

Date of next meeting Wednesday 1st June 2022 at 4.30pm



## FINANCE AND RESOURCES COMMITTEE MEETING

Date of Meeting	9 March 2022
Paper Title	Estates, Capital Expenditure and Masterplan Update
Agenda Item	22.07
Paper Number	22.07A
Responsible Officer	Tracy Elliott, Assistant Principal Finance and Infrastructure
Status	Disclosable
Action	For Discussion

### 1 PURPOSE OF THE REPORT

The purpose of this report is to provide a summary of the main current estates matters for Glasgow Clyde College and to provide an update on the capital expenditure against plan to date along with the capital masterplan update.

### 2 ACTION FOR THE BOARD

- 2.1 Committee Members are invited to discuss this paper.

### 3 BRIEF BACKGROUND INFORMATION

- 3.1 The College's major Capital works are based on the College Estates Capital Masterplan, the College Estates Condition Survey of all the College buildings (as completed in 2014), plus College plans for addressing emerging needs in discussion with Estates, and the Faculties and Units.
- 3.2 The College received from GCRB its capital funding allocation for 2021/22 in early April 2021. The funding allocation to the College for 2021/22 is £2.82M of capital allocation from SFC/GCRB split into £881k of lifecycle maintenance and £1.94M of high priority maintenance.
- 3.3 The capital plan for 2021/22 which was approved by the Board of Management in December 2021 was based on early indicative estimated costs for priority needs based on discussions and an informed survey of the sites together with any brought forward remaining works. The plan was summarized into four main project areas with a balance of £503k to be assessed and allocated as required by the College. This balance has now been allocated across the relevant projects.

- 3.4 Capital works are now in progress with the project manager team at Doig and Smith. The timescale for projects completion of end March 2022 has been emphasized and projects prioritized accordingly. The attached update outlines the spend to date and latest forecasts for the projects that the College is aiming to complete by the end of March 2022.
- 3.5 In addition to the above the College is progressing the Student Space project at Anniesland which is being funded from the additional SFC/GCRB estates capital allocation in 2020/21 to support economic recovery. The College received £403k of this funding for high priority maintenance and £196k for lifecycle maintenance. This project has now commenced on site and is due to be completed by mid-April 2022. This project was previously delayed to this timeframe as a result of supply chain issues particularly for steel.

#### **4 FUTURE YEARS' CAPITAL PLAN**

- 4.1 Following the Estates Strategy Review which was funded by the Glasgow Clyde College Education Foundation (GCEF) and undertaken by Gardiner and Theobald and BDP in 2019, the Public Realm Improvements project at the Cardonald campus was approved for GCEF funding of £652k. BDP were recently appointed to provide landscape architect/design services. The timescale for completion of their design concepts and preparation of the tender for issue is through to end March and the timescale for the planned improvement works is June to August 2022. The design concept stage will include discussion with staff and student stakeholders.
- 4.2 In addition to the above the College commissioned a condition survey during 2021/22 to help inform its future capital plans which has now been received. This will be analysed and progressed from April 2022 onwards.

#### **5 RISKS**

- 5.1 There is a risk that if the estates planned works are not progressed annually then the College estate will not be fit-for-purpose. There is also a timing risk in completion of the 2021/22 capital projects by end March and this need has been emphasized to the project management team.

#### **6 ANY OTHER SIGNIFICANT IMPACT e.g. STUDENT EXPERIENCE/ LEGAL/ FINANCIAL IMPLICATIONS/EQUALITY AND DIVERSITY**

- 6.1 There are no legal implications from this paper and the capital financial implications are captured above and in the College capital masterplan. Estates changes will take account of benefits to the student experience and any equality and diversity matters.

# Glasgow Clyde College

## Capital Masterplan 2021/22 as at 28 February 2022

Paper 21.50A

Project Ref	Project Description - Capital Projects	Funded by	2021/22 Capital Projects Plan Approved at Dec21 Board		2021/22 Capital Expenditure April 2021 to February 2022	2021/22 Capital Projects Plan Updated Forecast at Feb22	Comments
	Structure and Roof Works	SFC/GCRB very high priority works capital funding allocation 21/22	£0		£0	£0	Any structure and roof works will now be after April 2022
1	Building Fabric Works/ Skills Centre Toilet refurbishment	SFC/GCRB very high priority works capital funding allocation 21/22	£315,000		£0	£358,643	Mainly toilets refurbishment in Skills Centre building which is now 15 years old.
2	External Grounds & Drainage	SFC/GCRB very high priority works capital funding allocation 21/22	£425,000		£84,410	£522,266	Anniesland and Langside campuses. Improvements to a range of external areas.
3	Heating, Ventilation, Air Conditioning & Water/ Mechanical Works	SFC/GCRB very high priority works capital funding allocation 21/22	£300,000		£25,980	£423,120	All three campuses. Includes air handling units, chillers replacement.
4	Electrical Systems & Controls, Fire & Security/Electrical Works	SFC/GCRB very high priority works capital funding allocation 21/22	£400,000		£132,367	£489,541	Anniesland and Langside campuses. Lighting, CCTV, fire panel upgrade.
5	Balance to be allocated/carried forward	SFC/GCRB very high priority works capital funding allocation 21/22	£503,000		£76,259	£146,430	Other Small Works
	<b>Capital Masterplan 21/22 projects total</b>		<b>£1,943,000</b>		<b>£319,016</b>	<b>£1,940,000</b>	

## FINANCE AND RESOURCES COMMITTEE

Date of Meeting	9 March 2022
Paper Title	Key Performance Indicators – Committee Monitoring
Agenda Item	22.10
Paper Number	22.10A
Responsible Officer	Tracy Elliott, Assistant Principal Finance and Infrastructure
Status	Disclosable
Action	For Discussion

### 1 PURPOSE OF THE REPORT

- 1.1 The purpose of this report is to provide Committee members with an update on the set of previously agreed Committee Monitoring Key Performance Indicators. These KPIs will continue to be reported to the Committee on an on-going basis.

### 2 ACTION FOR THE COMMITTEE

- 2.1 The Committee is requested to discuss the Finance and Resources Committee Monitoring KPIs and decide whether any of them should be reported to the Board of Management at its March meeting as a matter of note or concern.

### 3 BRIEF BACKGROUND INFORMATION

- 3.1 At the Board of Management development event, held on 8 September 2021, there was a discussion on the role of the Board of Management's Committees in monitoring Key Performance Indicators. It was agreed that the Committees would monitor an agreed set of Key Performance Indicators at each meeting and report by exception any of those which should be highlighted to the next meeting of the Board of Management. There was a subsequent report submitted to the October Finance and Resources Committee proposing a set of Key Performance Indicators (KPIs) which the Committee may wish to monitor on an ongoing basis.
- 3.2 The proposed KPIs were supported by the Committee and an update on these is included in the attached annex 22.10A. These have been prepared in the same format as used by the Organisational Development Committee which shows the latest information as monitored on a quarterly or annual basis, and compared to the previous years as available.

## 4 SUPPORTING DOCUMENTATION/ FURTHER INFORMATION

4.1 Each KPI is a 'leading indicator' to be reported to allow committee members to review the performance of the College and an overview of the approach for each KPI is given below under each of the four KPI indicator category headings of financial performance, teaching and training delivery contract fulfilment, resource utilisation, and sustainability and recycling. These have been reported on in the attached annex 22.10A.

### 4.2 Financial Performance Indicators

Each of the previously proposed financial performance indicators is listed below showing the basis of the information for the indicator.

<b>Financial Performance Indicators</b>	<b>Basis of Information</b>
Forecast/Actual annual operating position	This is the forecast full year's surplus/ (deficit) position which is reported to each Committee and now included in KPI table
Number of days' expenditure fundable by cash balances	This is the cash balance at the end of each quarter divided by the College estimated daily business cash requirements. As the College is mainly funded by the Scottish Funding Council and this is a monthly funding drawdown process this has a relatively low base level
Forecast percentage total income from non-SFC sources	This is all the non-funding council income as a percentage and as well as commercial income includes other areas e.g. external funded income, catering income, nursery income
Commercial income and contribution level against target	This previously proposed KPI has been split into two separate KPIs to show commercial income as the first and commercial contribution as the second on the grid

#### 4.3 Contract Fulfilment Performance Indicators

Each of the previously proposed contract fulfilment performance indicators is listed below showing the basis of the information for the indicator.

<b>Contract Fulfilment (for Teaching Delivery Performance Indicators)</b>	<b>Basis of Information</b>
Percentage delivery against SFC Credit target	This indicates performance against the Scottish Funding Council's credits (i.e. measure of teaching hours delivery) target. For the 2021/22 year this target is 129,328 credits of delivery. This information is available directly from the College Student Records System so can be monitored by staff in real time.
Number of MA starts (college managing agent) against target	This shows the number of Modern Apprenticeships against target where the College manages the delivery through offered places from Skills Development Scotland (SDS)
Number of FA starts against target	This shows the number of Foundation Apprenticeships against target which are part of a Regional arrangement and are now part of overall credits activity having previously been controlled by SDS
FWDF income against target	This shows the level of Flexible Workforce Development Fund against target. These funds come from SFC.

#### 4.4 Resource Utilisation Performance Indicators

There are three proposed resource utilisation performance indicators which are lecturer utilisation, assessor utilisation and room utilisation. As previously indicated these are to be developed so the KPI lines have been include in the grid however these are not available yet.

#### 4.5 Sustainability and Recycling Performance Indicators

Each of the previously proposed sustainability and recycling performance indicators is listed below showing the basis of the information for the indicator.



<b>Sustainability and Recycling Performance Indicators</b>	<b>Basis of Information</b>
Tonnes of CO2 emissions	This is the measure of the College Carbon Dioxide equivalent emissions which is done through a conversion factor against a range of areas. The biggest areas by far are electricity and gas consumption.
Volume of paper consumed	This has not been measured as such to date. This information has been requested from our paper supplier.
Number of print copies (both mono and colour)	This information is provided quarterly by our photocopier/printer supplier.
Tonnes of waste generated	This is measured by the volume of waste uplifted.

## 5 RISKS

The proposed model of KPI reporting for the College and the Board of Management is intended to act as a mitigation measure to reduce the likelihood and severity of any key risks.

## 6 ANY OTHER SIGNIFICANT IMPACT e.g. STUDENT EXPERIENCE/ LEGAL / FINANCIAL/ EQUALITY& DIVERSITY

There are no significant impacts from this report however it should enable the Committee to monitor these key indicators as previously discussed and to escalate any related matters to the Board of Management. It is also reflecting a proposed action from the previous Board effectiveness review as undertaken and will be taken forward in conjunction with a similar process at other Committees.

Key Performance Indicator	Reporting to Committee	Target	2017/18	2018/19	2019/20	2020/21	Quarter 1 2021/22	Quarter 2 2021/22
<b>FINANCIAL PERFORMANCE</b>								
Forecast/Actual annual operating financial position surplus/ (deficit)	Quarterly	Breakeven normally. Budget for 2021/22 is deficit of £450k	£125k	£107k	£267k	£571k	(£438k)	(£1,204k)
Number of days' expenditure fundable by cash balances	Quarterly	20 days	22	23	43	62	30	60 (note 1)
Forecast percentage total income from non-SFC sources	Annually	20.2% in 2021/22 budget (note 2)	26.8%	23.3%	22.4%	22.8%	N/A	N/A
Commercial income (incl. FWDF) against target	Quarterly	£2.25M income in 2021/22	£1.9M	£2.4M	£1.9M	£1.7M	£702k	£1,419k
Commercial contribution level to overhead against target after all costs	Quarterly	£400k contribution in 2021/22	£445k	£680k	£248k	£250k	£281k	£553k
<b>CONTRACT FULFILLMENT (FOR TEACHING DELIVERY)</b>								
Percentage delivery against SFC Credit targets	Quarterly	SFC credits target	101.0%	100.6%	100.9%	98.5%	94.5%	94.89% (note 3)
Number of MA starts against target (where college is managing agent)	Quarterly	132 in 2021/22	98	107	112	123	126	120 (note 4)
Number of FA starts against target	Quarterly	188 in 2021/22	TBC	TBC	398	208	133	117 (note 5)
FWDF income against target	Quarterly	£600k in 2021/22	£247k	£421k	£438k	£434k	£109k	£360k
<b>RESOURCE UTILISATION</b>								
Lecturer utilisation level	Quarterly	To be developed	Not avail	Not avail	Not avail	Not avail	Not avail	Not avail
Assessor utilisation level	Quarterly	To be developed	Not avail	Not avail	Not avail	Not avail	Not avail	Not avail
Room utilisation level	Annually	To be developed	Not avail	Not avail	Not avail	Not avail	Not avail	Not avail
<b>SUSTAINABILITY AND RECYCLING</b>								
Tonnes of CO2 emissions	Annually/ Quarterly in future	Reduce annually - target being developed	2,923	2,468	2,024	2,080 (note 6)	Not yet avail	Not yet avail
Volume of paper consumed	Quarterly	Target being developed	Not measured	Not measured	Not measured	Requested from paper supplier	Requested from paper supplier	Requested from paper supplier
Number of print copies (both mono and colour)	Quarterly	Target being developed	Not avail - changed reports in year	14.20M	10.67M	1.02M	0.32M	0.42M
Tonnes of waste generated (recyclable and non-recyclable)	Quarterly	Reduce quarterly - target being developed	367	422	225	134	61	39

## Notes

(1) Quarter 2 Days cash increased largely as a result of SAAS Annual fees receipt in Jan22 and movements in working capital due to COVID19 and the related restrictions

(2) SFC grants higher in 2021/22 due to three one-off grants which affects this percentage in budget

(3) As per 11 Feb 2022 MIS Live Portfolio Forecast

(4) Quarter 2 MA Figures include withdrawals

(5) Quarter 2 FA Figures include withdrawals

(6) CO2 Emissions increased in 2020/21 due to a new metric for estimating the impact of Homeworking. The College does not currently have a mechanism to capture quarterly emission data. However this is something we are exploring as part of the Regional Sustainability Group.

**/FINANCE AND RESOURCES COMMITTEE MEETING**

<b>Date of Meeting:</b>	9 March 2022
<b>Paper Title:</b>	Policies for Review
<b>Action:</b>	Decision
<b>Prepared by:</b>	Kirsty Mavor, Clerk to the Board
<b>Agenda Item:</b>	22.12
<b>Status:</b>	Disclosable

**1. PURPOSE OF THE REPORT**

The purpose of this report is to ask the Committee to review and approve Policies 2.1 and 2.3 as delegated by the Board of Management at its meeting on 15 December 2021.

**2. ACTION FOR THE COMMITTEE**

The Committee is asked to consider and approve the following policies:-

- Policy 2.1 Financial Procedures and Budgetary Control
- Policy 2.3 Treasury Management

Policy 2.2 Procurement is included in the papers for completeness but is not due to be reviewed until March 2023.

**3. BRIEF BACKGROUND INFORMATION**

3.1 The Board has responsibility for a number of College policies which are subject to a programme of regular review.

3.2 At its meeting on 15 December 2021, the Board delegated authority to each Committee to review the policies relative to its areas of responsibility. The following policies sit within this Committee's area of responsibility:

2.1	Financial Procedures and Budgetary Control	Mar 2025
2.2	Procurement	Mar 2023
2.3	Treasury Management	Mar 2025

3.3 Policies 2.1 and 2.3 have been reviewed internally and suggested changes are tracked for the Committee's reference.

3.4 The Board approved a revised programme staggering the dates for the next review of all College policies; the review dates for those falling under this Committee's remit are set out in the table above.

**4. SUPPORTING DOCUMENTS/ FURTHER INFORMATION**

**Appendix 1:** Policy 2.1 Financial Procedures and Budgetary Control

**Appendix 2:** Policy 2.2 Procurement – to be reviewed March 2023

**Appendix 2** Policy 2.3 Treasury Management

**5. RISKS**

- 5.1 Failure to review Board policies in a timely manner could mean that the policies fail to reflect changes to legislation or best practice which have occurred in the period since the last renewal.

**6. ANY OTHER SIGNIFICANT IMPACT  
eg STUDENT EXPERIENCE/LEGAL/FINANCIAL/EQUALITY & DIVERSITY**

- 6.1 Reviewing policies ensures students' interests are protected and that the College complies with all legal, financial and equality and diversity issues.

**Policy Area:** Finance

**Policy Title:** Financial Procedures And Budgetary Control

**Revision No.:** ~~2~~4

**Review Period:** ~~3~~5 years

**Review Due:** On or before March 202~~5~~2

It is the policy of the Board of Management to require a system of financial record keeping and budgetary control capable of meeting both its own internal accounting needs and the need to demonstrate accountability for the use of public funds.

To this end financial records and processes will be prepared and implemented to ensure that the following general control objectives are met:

- all management information is reliable and is presented timeously and in the most appropriate form
- the risk of fraud and corruption is minimised;
- appropriate arrangements exist to promote economy, efficiency and effectiveness in the use of resources

Also budgets will be managed and controlled to ensure that the following general control objectives are met:

- budget setting and monitoring of income and expenditure is robust based on available information
- budgets are controlled and managed within the remit of a person's delegated authority and responsibility
- budgets are reported against actual expenditure to senior management on a regular basis, with an explanation of variances given by relevant budget holders as required
- actions are taken to remedy any situation of unfavourable budget variance within the limits of the College's available resources
- budget variances are reported timeously to the Board, with explanation of actions being taken as required to maintain the overall College budget position

This Policy has been developed in line with all relevant legislation including the Equality Act 2010 and covers all individuals including, but not limited to, those with the following protected characteristics: Age, disability, gender reassignment (including gender identity

and expression), marriage and civil partnership status, pregnancy and maternity, race, religion or belief, sex (formerly gender) and sexual orientation

~~This Policy has been developed with due regard to all relevant legislation.~~

### History of changes

Revision	Description	Adopted	Authorised
0	First draft	November 2013	TE
1	Policy reviewed with no updates required.	March 2017	Finance and Resources Committee
<u>2</u>	<u>Review period revised from 5 years to 3 years. Reference to legislation and Equality Act updated.</u>	<u>March 2022</u>	<u>Finance and Resources Committee</u>

**Policy Area:** Finance

**Policy Title:** Procurement

**Revision No.:** 2

**Review Period:** 5 years or as required by relevant legislation

**Review Due:** On or before April 2023

## **1.0 Introduction**

- 1.1 The Policy has been developed to provide a framework through which the College's procurement activities will be managed, and ensure compliance with relevant legislation.

## **2.0 Purpose and Aims**

- 2.1 The Procurement Policy will support the College's values by:
- maintaining the highest ethical standards regarding procurement matters;
  - promoting and advancing diversity and equalities as an integral part of the College's procurement strategy;
  - promoting sustainable development by adopting appropriate procurement strategies;
  - acting fairly towards suppliers;
  - achieving value for money;
  - working in partnership in terms of public procurement; and
  - complying with its legal obligations in relation to procurement, including the requirements of the EU Procurement Directives and the Reform Act.
- 2.2 The Policy will support each of the College's key objectives as set out within the Development Plan and Procurement Strategy.

## **3.0 Scope**

- 3.1 The College's Procurement Policy will ensure that the College complies with all relevant legislation, Scottish Government, Scottish Funding Council (SFC) and Glasgow Colleges Regional Board (GCRB) guidance.
- 3.2 The College will create and maintain suitable Procurement Procedures that set out the manner in which the College will seek to achieve its procurement objectives, and manage and control procurement activities.



## 4.0 Policy Statement

### 4.1 Ethical Standards

4.1.1 To maintain the highest ethical standards across the College, members of staff involved in procurement will:

- abide by the College's Fraud and Corruption Procedures as outlined in the Financial Regulations; and
- abide by the College's Code of Conduct as well as the Procedures on accepting gifts and hospitality as outlined in the Financial Regulations.

### 4.2 Separation of Duties

4.2.1 To ensure propriety, members of staff will perform different roles. These roles should never be carried out by the same person. The three key roles are:

- the Budget Manager who approves the expenditure;
- the member of staff who ensures that the proposed purchase fully complies with the College's Procurement Procedures (Finance / Procurement Office); and
- the member of staff who pays the invoice (Finance Office).

### 4.3 Duties under Equality Act 2010

4.3.1 The Public Sector Equality Duty (PSED) under the Equality Act 2010 states that (as a public authority) the College must, in the exercise of its functions (including procurement) have due regard to the need to:

- eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by the Act;
- advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and
- foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The relevant protected characteristics covered by the PSED are: age; disability; gender reassignment; pregnancy and maternity; race; religion or belief; sex; and sexual orientation. The PSED also covers marriage and civil partnerships, with regard to section a) in employment.

4.3.2 To enable better performance of the PSED, the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012 place specific duties upon authorities. Subsequently, the College is required to pay due regard to whether the award criteria of the agreement, and the contract conditions relating to the performance of that agreement, should include considerations to enable it to better perform the PSED. The College remains responsible for meeting its obligations under the various statutes even when an external contractor provides one or more of the College's functions. Members of staff involved in procurement will take account of the following key objectives when taking forward purchasing decisions:

- ensuring all contracts are delivered in a way which is non-discriminatory, advances equality of opportunity and fosters good relations for the College's staff, students, the general public, and businesses; and
- ensuring that goods, works, and services provided by contractors cater for all users' needs.

#### 4.4 Sustainable Development

4.4.1 A key element in public procurement is the achievement of value for money. Members of staff involved in procurement, as well as end-users, play an important part in meeting the College's sustainable development objectives through the use of goods and services, which are environmentally preferable. The related key objectives are:

- conserving resources (e.g. energy, water, wood, paper) resources, particularly those which are scarce or non-renewable - while still providing a safe and comfortable working environment;
- reducing (and avoiding wherever possible) waste through re-use and recycling and by using refurbished and recycled products and materials where such alternatives are available;
- phasing out of ozone-depleting substances and minimising the release of greenhouse gases, volatile organic compounds, vehicle emissions and other substances damaging to health and the environment;
- wherever possible, requesting that suppliers propose 'ethically traded' products (guidance on including this must be obtained from the Procurement Section in advance of obtaining quotations / raising a Purchase Order);
- ensuring that local suppliers are not precluded from the College's procurement supply chain;
- ensuring that any products derived from wildlife such as timber and leather goods are from sustainable sources, and comply with EC and international trading rules such as CITES (the Convention in International Trade in Endangered Species); and
- working with suppliers to promote awareness of the College's sustainability objectives.

4.4.5 Members of staff involved in procurement will be required to take into account the impact of waste and waste disposal prior to making a purchasing decision. If waste cannot be avoided, then value should be recovered from the waste and only if that is not an efficient solution should the waste be disposed of by means which minimise risk to the environment and to human health.

4.4.6 For Procurements >£50k, staff shall complete the Sustainability form attached within the College Procurement Procedure. This will highlight any areas that may require consideration from a CSR perspective.

4.4.7 The College has adopted the APUC Supply Chain Code of Conduct as part of our commitment to conducting procurement activities in a socially responsible manner, and furthermore supports wider engagement by the supply market with the APUC 'Sustain' programme to assess suppliers' supply chain sustainability credentials. Further information can be found at: <http://www.apuc.scot.ac.uk/#!/susproject.php>.

#### 4.5 Supplier Relationship

4.5.1 Members of staff involved in arranging a contract will ensure the process is carried out in an appropriate manner, consistent with this Policy and other associated College Policies and Procedures. This will include:

- ensuring adequate and appropriate publicity is given to contract opportunities. This should normally involve, as a minimum, placing details of the contract opportunity on Public Contracts Scotland website;
- ensuring that the College complies with the Scottish Government's Supplier Charter;
- ensuring that local suppliers and Small to Medium Sized Enterprises (SME's) have equality of opportunity when bidding / tendering for College Contracts;
- adhering to the Scottish Procurement Journey;
- adhering to the Colleges' Procurement Procedures;
- providing feedback to those suppliers who were unsuccessful in a tender exercise; and
- paying suppliers for goods and services normally within 30 days of receiving an invoice.

#### 4.6 Procurement Journey

4.6.1 The Scottish Government Procurement Journey is intended to support all levels of procurement activities and to help manage the expectations of stakeholders, customers and suppliers alike and facilitates best practice and consistency across the Scottish public sector. Further information can be found at: <https://www.procurementjourney.scot/>.

#### 4.7 Value For Money

4.6.1 The following factors will be taken into account during procurement exercises to assist the College in achieving value-for-money:

- right quality of product or service – Product Specification;
- right quantity of product or service – Product Specification;
- products or services supplied at the right time – Source of Supply;
- products or services supplied at the right place – Source of Supply; and
- right price for the product or service – Source of Supply.

#### 4.7 Working In Partnership

4.7.1 The College will work in partnership with other public sector bodies to maximise the benefits arising from collaborative procurement. In particular the College is committed to working in partnership with:

- Scottish Procurement
- APUC
- Glasgow Regional Procurement Team

#### 4.8 Transparency

- 4.8.1 The College will ensure it engages widely with its local supply market on an ongoing basis and will mandate the use of clear and precise language in its specifications and ensure contracts are awarded using appropriate quality, risk and sustainability factors as well as cost according to declared score weightings specific to each contract.

#### 4.9 The Living Wage

- 4.9.1 The College recognises the value of a well-motivated and dedicated workforce both in its own organisation and in those of its suppliers. The College is a Glasgow Living Wage employer. In compliance with relevant legislation the College will consider, before undertaking a procurement, whether it is relevant and proportionate to include a question of fair work practices along with other relevant criteria, whilst ensuring the appropriate balance between quality and cost of the contract, paying regard to the statutory guidance<sup>1</sup> including the application of the Glasgow living wage.

### 5.0 Responsibilities

- 5.1 This Procurement Policy applies to all purchases made by the College including those funded from both capital and running costs.
- 5.2 The Vice Principal – Resources and College Development will be responsible for the Colleges' Procurement Policy and Strategy.
- 5.3 The Vice Principal – Resources and College Development will be responsible for managing the development of the College's procurement systems, processes and Procedures and for ensuring cross college compliance. They will also be responsible for agreeing Delegated Purchasing Authority (DPA).
- 5.4 The Procurement Manager will have operational responsibility for:
- procurement systems, processes and Procedures;
  - determining and promoting best practice purchasing arrangements; and
  - leading high value high risk corporate procurement exercises.
- 5.5 All managers involved in procurement will be responsible for ensuring that they adhere to the Colleges' Procurement Policy and related Procedures.

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<sup>1</sup> [Statutory Guidance on the Selection of Tenderers and Award of Contracts – Addressing Fair Work Practices, including the Living Wage, in Procurement](#)

**History of changes**

Revision	Description	Adopted	Authorised
0	First draft	November 2013	TE
1	Full review and update to all sections of the Policy	March 2017	Finance and Resources Committee
2	Additional narrative regarding Supply Chain Code of Conduct and Living Wage	October 2018	Finance and Resources Committee

**Policy Area:** Board of Management

**Policy Title:** Treasury Management

**Revision No.:** 1

**Review Period:** ~~53~~ years

**Review Due:** On or before March 202~~5~~<sup>2</sup>

It is the policy of the Board of Management to recognise that effective treasury management will support the achievement of its business and service objectives and is committed to the principles of achieving value for money and to effectively managing its cash resources and maximising benefits from its cash activity.

This Policy will be supported by the existing College Financial Regulations.

~~This Policy has been developed with due regard to all relevant legislation.~~

This Policy has been developed in line with all relevant legislation including the Equality Act 2010 and covers all individuals including, but not limited to, those with the following protected characteristics: Age, disability, gender reassignment (including gender identity and expression), marriage and civil partnership status, pregnancy and maternity, race, religion or belief, sex (formerly gender) and sexual orientation.

### History of changes

Revision	Description	Adopted	Authorised
0	First draft	November 2013	SW
1	Policy Area change from Board of Management to Finance and Policy Number change from 1.5 to 2.3.	March 2017	Finance and Resources Committee
<u>2</u>	<u>Review period revised from 5 years to 3 years. Reference to legislation and Equality Act updated.</u>	<u>March 2022</u>	<u>Finance and Resources Committee</u>




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## FINANCE AND RESOURCES COMMITTEE

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Date of Meeting	9 March 2022
Paper Title	College Strategic Risk Register
Action	For Noting
Prepared by	Jon Vincent, Principal & Chief Executive
Agenda Item	22.16
Status	Disclosable

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### 1 PURPOSE OF THE REPORT

- 1.1 This report considers the College's Strategic Risk Register which is updated regularly and reported to the Finance and Resources Committee and the Board of Management on a quarterly basis.

### 2 ACTION FOR THE BOARD

- 2.1 Members are invited to note this paper.

### 3 BRIEF BACKGROUND INFORMATION

- 3.1 The College's Strategic Risk Register as at 16 February 2022 is attached. The Strategic Risk Register is updated regularly and considered at least quarterly by College senior management. The changes since last reported to the Board in December are highlighted in red.

### 4 SUPPORTING DOCUMENTATION/ FURTHER INFORMATION

- 4.1 The College's Risk Appetite as last reviewed by the Board in October 2020 is Open where open is defined as being willing as an organisation to consider all potential delivery options and choose the one that is most likely to result in successful delivery while also providing an acceptable level of reward. The risk appetite process is based on the HM Treasury of Management method.
- 4.2 There is a column now included in the Risk Register which shows the comparison of the residual risk score for each risk against the risk appetite scoring mapping, and indicates where the risk score is higher than, equal to or lower than the College Risk Appetite of Open (which is the score range of 15 to 19 for the residual risk).
- 4.3 Overall, there are three risks where the risk score has increased following the latest review, they are:



### **F1 – Failure to achieve contracted overall teaching delivery targets for any partner (SFC/SDS/ESF)**

The College is now forecasting underachieving its SFC credit target by circa 2% however it is unclear if the SFC will operate its clawback mechanism at the end of 2021/22. The College (and sector) have been significantly impacted by restrictions imposed on its operations because of the Covid-19 pandemic. These restrictions have had a limited impact on recruitment but a more profound impact on student retention, this is a common picture across the Scottish college sector. The College had a very positive January 2022 recruitment campaign which has contributed to an improving situation in comparison to that report to the Board of Management in December 2022. Discussions are ongoing between the sector, SFC and Scottish Government regarding the financial impact on colleges of under-performance against contracted delivery targets and consequences for financial sustainability. At a local level the College is in regular contact with GCRB.

### **F4 – Adverse funding changes in 2021/22 (SFC/SDS/ESF) and future years**

Due to a reduction in UK Government Covid-19 consequential funding to the Scottish Government the flexibilities on college funding contracts employed in 2019/20 and 2020/21 have not yet been confirmed for 2021/22. Discussions are on-going between the sector, SFC and Scottish Government about the potential impact on the college sectors financial stability. At a local level the College is in regular contact with GCRB. The Scottish Government has published its draft budget for 2022/23 and have planned for a 'flat-cash' settlement for the college sector. Colleges Scotland have calculated that the settlement will result in a circa £52m 'real-terms' cut to college sector income due to inflationary pressures, pay settlement increases, National Insurance rises and the end of Covid-related funding initiatives. Based on these calculations the income reduction for Glasgow Clyde College would be circa -£2m in 2022/23. The 5yr financial forecast is currently being updated and will be presented to the next meeting of the Board's Finance & Resources Committee on 9 March 2022.

### **O2a – Negative impact on employee relations at a national level (e.g. national bargaining, industrial action)**

EIS-FELA have formally notified the Employer Association that they are in dispute because the employers' have failed to '*...make a reasonable pay offer in the 2021-22 NJNC National Pay Negotiations.*' EIS-FELA have enacted a consultative industrial action ballot that opened on Friday 11 February 2022. Traditionally, support for national industrial action at the College has been high.

The national pay negotiations with the support staff trade unions for the 2021/22 period is currently on-going. A final offer has been made by the employers and the unions are currently considering it.

4. The Board's approach to Risk Appetite was discussed at the October Audit Committee who were comfortable with the approach adopted at this stage however there was a discussion at that Audit Committee on whether it was the most appropriate to use the same risk appetite level across each risk area.

A workshop was held on 14 January 2022 involving College senior managers and Board members. The workshop considered how risk scoring and the risk appetite could be re-considered including the possibility of introducing different risk appetite levels across the different risk areas. In addition, the workshop reviewed the Risk Register in detail against the Strategic Plan themes and it was agreed that the key risks should be mapped against the objectives contained in the Plan. Finally, because of the detailed discussion it was agreed that a comprehensive review of the current risks was required with the likelihood that some risks will be removed, and new risks added. A further workshop was planned for February 2022 to further consider matters however it was deferred due to staff absence. The workshop will be rescheduled in March 2022.

## **5 RISKS**

- 5.1 The College Strategic Risk Register is a key part of the College's risk management framework.
- 5.2 The College is required to have a risk register as part of the Financial Memorandum and the financial implications are detailed within the financial risks section of the College Strategic Risk Register.

## **6 ANY OTHER SIGNIFICANT IMPACT e.g. STUDENT EXPERIENCE/ LEGAL / FINANCIAL/ EQUALITY& DIVERSITY**

- 6.1 Each of the risks in the College Strategic Risk Register reflect the current assessment of the key areas of College activity across the financial, organisational and governance risks, which include student experience, legal, financial, and equality and diversity matters.

GLASGOW CLYDE COLLEGE - STRATEGIC RISK REGISTER								Key of abbreviations : SFC = Scottish Funding Council, GCRB = Glasgow Colleges Regional Board, GCG = Glasgow Colleges Group, SDS = Skills Development Scotland, ESF = European Social Fund, JISC = Joint Information Steering Committee, FWDF = Flexible Workforce Development Fund, VLE = Virtual Learning Environment, DELTA project = Delivering Excellence in Learning, Teaching and Assessment, VPN = Virtual Private Network			Key for Risk Appetite Residual Score Comparison: 1-6 = Averse, 7-9 = Minimalist, 10-14 = Cautious, 15-19 = Open, 20-25 = Hungry				as at 16th February 2022		
					Score Before Mitigating Actions				Score After Mitigating Actions								
Risk Ref	Risk Description	Risk Category	Link to Strategic Plan Themes	Risk Owner	Probability	Impact	Risk Score	Mitigating Actions	Probability	Impact	Risk Score	Score compared to College risk appetite (see key above)	Risk Ranking after mitigating actions	Risk Timing Short / Medium/ Long Term	Risk Score at last report to the Board	Risk Increasing/ Decreasing/ No Change	
Financial Risks																	
F1	Failure to achieve surplus targets for commercial activity/Failure to achieve/maintain planned levels of non-SFC income	Financial / COVID impacts	Theme 2 and 5 - Partner of Choice and Financial Resilience through Operational Excellence	Assistant Principal International and Business Development	5	5	25	<b>Short term</b> i) Revised commercial income/surplus plan now for 2021/22 and plan to rebuild for future years by each sector area based on medium and long term impacts following COVID 19 virus. ii) FWDF key element of total activity and increased level during 2021/22 utilising CBI support to promote FWDF to larger companies. iii) Greater use of digital marketing to promote course areas as effectively as possible <b>Long Term</b> iv) Regular monitoring between Business Development Unit, External Funding Unit and Faculty Management of commercial activity/non-SFC activity and future replacement activity will be identified as far as can be estimated however significant impacts from COVID through 2020/21 at least. v) Pipeline of activity being re-established as much as possible based on on-line or on-site delivery vi) Costing templates completed for all commercial activity. In year staff costs transfers of permanent staff costs. vii) Increased engagement and marketing effort during COVID to try to maintain as much of business as possible and to open and grow new income streams e.g. for retraining. viii) Spread of activity across a range of activity areas to reduce risk of one large contract failure to overall surplus. ix) Review and develop market opportunities through business development strategy and growing new markets. x) Keep informed of constitutional change implications of Brexit and impact on non-SFC activity for the College. Involvement in College sector Brexit forum. xi) Continued work with key partners to ensure successful projects delivered and funding maintained as much as possible.	4	5	20	Higher than risk appetite (Hungry)	F1	Short	20	No change	
F2	Failure to achieve contracted overall teaching delivery targets for any key partner (SFC/SDS/ESF)	Financial/ Organisational/ COVID impacts	Theme 2 and 3 - Partner of choice and Unrivalled Student Experience	Deputy Principal	5	4	20	<b>Short Term</b> i) Regular analysis and reporting of progress against SFC credits target for teaching delivery which is discussed at each Senior Leadership Team and Curriculum Assistant Principals meetings. ii) Continue to seek clarity on different SFC credits streams for 2021/22 & impacts for College iii) Focussed support for students to deliver student experience and to ensure stated teaching activity targets are met. iv) Closely monitor tuition fees income to assess potential COVID impacts on income <b>Long Term</b> iv) Annually plan and deliver portfolio to required quality standards, ensuring appropriate recruitment, and improved retention of students. v) Discussions within Glasgow Colleges Group and with other partners to plan curriculum and make changes annually to meet market needs and Government and SFC guidance vi) Work closely with relevant partners to ensure programmes implemented as planned vii) Aim to ensure annually all relevant agency (e.g. SDS) milestones and documentation requirements achieved viii) College undertake effective competitor analysis, clear branding and focused marketing to maintain effective student recruitment. Again significant COVID impacts on ongoing basis.	5	5	25	Higher than risk appetite (Hungry)	F2	Short	20	Increasing	
F3	Failure to reduce College cost base on managed basis to meet requirements of the three year financial forecast	Financial/ Organisational/ COVID impacts	Theme 5 - Financial Resilience through Operational Excellence	Principal/ Deputy Principal & Vice Principal	5	5	25	<b>Short Term</b> i) Revenue budget approved for 2021/22 ii) Cost reduction plan implemented in 2020/21 with reduction in staff levels and significant cuts in non-staff budgets across the College. VS Reductions and academic management restructure implemented. <b>Long Term</b> iii) Process of review of all areas to seek cost reductions, as well as seeking further efficiency through improved business processes. iv) First staff restructure from October 2019 through use of VS scheme with required agreement with GCRB and SFC. v) Successful bid to GCEF for additional funding support from November 2020. vi) Discussion on future potential changes being taken forward. vii) Zero based budgeting from 19/20 onwards for non-staff costs. viii) Three year Financial Forecast Return approved by the Board of Management and submitted to SFC	3	5	15	As per Risk Appetite (Open)	F3	Medium	15	No change	

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F4	Adverse Funding changes in 2021/22 (SFC/SDS/ ESF) and future years	Financial / COVID Impacts	Theme 5 - Financial Resilience through Operational Excellence	Principal/ Deputy Principal & Vice Principal	4	5	20	<b>Short Term</b> i) Financial plans developed by College Senior Leadership Team and monitored within framework of available activity through Glasgow Regional funding for teaching, student support funds and capital. Portfolio planning key element of cost base and monitored on ongoing basis. Portfolio for 2020/21 being monitored with blended/ on line activity where possible. ii) College working to achieve Flexible Workforce Development Fund target levels however this was impacted by COVID 19 arrangements and number of the related areas now moved to on line delivery. iii) SFC Funding allocations for 2021/22 now finalised. <b>Long Term</b> iv) Continue to aim to inform and influence funding allocations through Principals' Forum, Glasgow Colleges Regional Board, MSPs, and other appropriate bodies. v) Work with Colleges Scotland and Scotland's Colleges Partnership on lobbying regarding impact on ESF funding and development of future alternative resources. Closely monitor ESF delivery levels and suitable record keeping. vi) Projects progressed to address priority items as per College Capital masterplan based on affordability.	4	5	20	Higher than Risk Appetite (Cautious)	F4	Medium	12	Increasing

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Organisational Risks																		
O1	Failure of College operational processes/ systems/ ICT infrastructure including risk of cyber attack or fraud	Organisational/ COVID impacts	Theme 5 - Financial Resilience through Operational Excellence	Vice Principal Resources & College Development & Deputy Principal	4	5	20	<b>Short Term</b> i) Monitoring systems in place across College and feedback from relevant staff. Any issues addressed as necessary and action taken. Plans ensure key systems security / performance not impacted during periods of financially challenging budget. Many systems/services cloud based and using VPN/remote desktop for staff to access systems while home working. Delivered laptops and wireless devices to staff and students who need them within the available resources levels. <b>Long Term</b> ii) Business system improvement process in place iii) Infrastructure designed not to have single points of failure with all campuses operating a sophisticated dual-core network topology. iv) Virtualisation infrastructure which improves server resilience with two main data centres at different campuses with tape/offsite and cloud backups of critical systems. v) Member of HE/FE Shared Technology and Information Services (HEFESTIS) which provides support to secure against cyber attack and regular ICT network penetration testing undertaken by external bodies. vi) ICT backup procedures and Disaster Recovery planning. Cyber essentials+ status maintained. vii) Enterprise Malware detection and Web filtering technology and room based uninterruptable power supply in place with ICT climate monitoring facilities. viii) Fraud response plan in place	4	4	16	As per Risk Appetite (Open)	O1	Medium	16	No Change		
O2a	Negative impact on employee relations at a National level (e.g. national bargaining, industrial action)	Organisational / Reputational	Theme 4 - Employer of Choice	Principal/ Assistant Principal HR	4	5	20	<b>Short Term</b> i) Focussed work with Trade Unions, specific and regular meetings with senior management, ensuring good flow of information, and ongoing communications on any national matters. <b>Long Term</b> ii) Representation made through Employers Association Group, Colleges Scotland, Principals Forum, and GCRB, within national bargaining process. iii) Emphasis being made nationally on imperative of financial sustainability and affordability issues particularly given increased staffing costs and challenges of the Glasgow Regional context. iv) Business continuity planning used to ensure all stakeholders appropriately communicated with in any potential industrial action.	4	5	20	As per Risk Appetite (Open)	O2a	Short	15	Increasing		
O2b	Negative impact on employee relations at a local College level (e.g. local consultation)	Organisational / Reputational	Theme 4 - Employer of Choice	Principal/ Assistant Principal HR	4	5	20	<b>Short Term</b> i) Focussed work with Trade Unions, specific and regular meetings with senior management, ensuring good flow of information, and ongoing communications. ii) Regular direct communication with staff e.g. staff briefings, focus groups. iii) COVID 19 related communication sent regularly to all staff from the Principal and union involvement in risk assessment discussions <b>Long Term</b> iv) Discussion with unions on impact on College financial sustainability and organisational impacts. v) Business continuity planning used to ensure all stakeholders appropriately communicated with in any potential industrial action. vi) Ensure transparency of College consultation process to maximise opportunities for enhanced communications with Trade Unions	3	4	12	Lower than Risk Appetite (Cautious)	O2b	Short	12	No change		
O3	Failure to achieve acceptably high standard quality of teaching delivery and support for students and suitable student experience	Organisational/ Financial/ COVID impacts	Theme 1 & 3 - Inspirational Learning & Teaching & Unrivalled Student Experience	Deputy Principal	5	5	25	<b>Short Term</b> i) Regular monitoring of teaching KPIs across relevant curriculum measures and actions implemented to develop improvement strategies . ii) Quality Assurance processes undertaken through annual cycle of activities including self evaluation, verification, feedback and audit. iii) Heads of Curriculum and Unit Managers monitor quality and delivery of service and implement actions for improvement. Extensive training on Teaching, Assessment and E learning ensure staff are updated and enabled to deliver a high quality learning experience. iv) Faculty staff work with students association, class reps and student feedback mechanisms to monitor feedback on quality and follow up on any issues v) Monitor feedback from student focus groups on student experience <b>Long Term</b> vi) Significant deployment of digital resources to learners and staff in areas of need to enhance delivery of blended learning approaches as well as the enhanced use of the VLE vii) A range of student feedback mechanisms are used to gather and inform improvement activities to improve the wider student experience. Development of classroom observation protocol as intimated in national bargaining. viii) Collaboration between teaching and support teams to ensure improvements and efficiencies are delivered where possible across College business processes and to deliver quality of services. ix) The DELTA E-Learning project and Research & Development Programme support a significant number of staff through capacity building, training and mentoring focused on delivering effective learning & teaching.	3	4	12	Lower than Risk Appetite (Cautious)	O3	Medium	12	No change		

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O4	Failure in any area of College data management processes	Organisational/ Reputational/ COVID impacts	Theme 5 - Financial Resilience through Operational Excellence	Vice Principal Resources & College Development & Deputy Principal	4	5	20	<b>Short Term</b> i) Ongoing monitoring by ICT of any potential systems being targetted ii) Multi Factor Authentication being rolled out across College staff <b>Long Term</b> iii) Key business systems and processes contain range of controls with agreed practices and staff training and communication on practices/guidelines. Role based user access restrictions in place. iv) Procedures and guidance in place including guide for staff on information and data security with a list of key do's and don'ts v) Data protection officer works closely with managers on any data protection matters. Clear procedures and guidelines in place including process for any potential data breaches. vi) Data privacy notices for the College in place and published and data sharing agreements with other organisations are established. vii) Document retention scheme in place for all key record types viii) Member of HE/FE Shared Technology and Information Services (HEFESTIS) which provides information on data management and any sectoral updates. ix) Homeworking guidance in place for staff x) External agencies assurance & audit processes review areas of data management and any recommendations followed up.	3	4	12	Lower than Risk Appetite (Cautious)	O4	Medium	12	No change			
O5	High Impact Disaster for College e.g. fire, long term power loss	Organisational/ COVID impacts	Theme 5 - Financial Resilience through Operational Excellence	Vice Principal - Resources & College Development	3	5	15	<b>Long Term</b> i) Health and safety risk assessments in place and required testing and audits completed on an annual cycle ii) Business Continuity Plan for College in place. iii) Estates condition survey completed and prioritising projects through estates based on affordability. iv) Business interruption insurance in place.	3	4	12	Lower than Risk Appetite (Cautious)	O5	Medium	12	No change			
O6	Failure to achieve a sustainable fit for purpose College estate	Organisational/ Financial	Theme 1 & 5 - Inspirational Learning & Teaching & Financial Resilience through Operational Excellence	Vice Principal - Resources & College Development	4	4	16	<b>Short Term</b> i) Need to plan within College tight resources due to financially challenging budget and items rephased as required. ii) Monitor use of College estate as result of COVID impacts and updated cleaning regime in place. iii) Plans for projects for use of the estates high priority maintenance funding <b>Long Term</b> iv) Capital masterplan in place and related to need/estates condition survey. Funding for very high priority items allocated by GCRB to College. v) Work with GCRB and SFC to ensure fully informed of estates requirements. vi) Estates Strategy Review completed	3	3	9	Lower than Risk Appetite (Minimalist)	O6	Long	9	No change			
O7	Failure to recruit and retain an appropriately skilled and effective workforce	Organisational/ Reputational	Theme 1 & 4 - Inspirational Learning & Teaching & Employer of Choice	Assistant Principal HR	3	5	15	<b>Short Term</b> i) Maintain open channels of communication with trade unions, college managers and their staff, and effective attendance management process in place. ii) Cover arranged as required for absence of key staff members. iii) Need to manage to retain appropriate staff through challenge of restructures <b>Long Term</b> iv) College Strategic Theme of Employer of choice with attractive overall terms and conditions e.g. pension schemes, flexible working. v) All new staff have an induction process and annual training programme undertaken. vi) Appropriate CPD provided for staff to meet identified skills gaps vii) Managers work with their staff to consider any enhancements to skillsets and access to training e.g. webinars. General risk across staff in new levels of home working. viii) Recruitment and retention of staff for a few skills areas remains challenging and College continues to use a range of approaches as appropriate.	2	4	8	Lower than Risk Appetite (Minimalist)	O7	Medium	8	No change			



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Governance Risks																
G1	Failure to comply with Health and Safety and Safeguarding requirements	Organisational/ COVID Impacts	Theme 1 & 5 - Inspirational Learning & Teaching& Financial Resilience through Operational Excellence	Assistant Principal HR	4	5	20	<b>Short Term</b> i) COVID related operating arrangements discussed at SLT. ii) Full review of Health and Safety Policy and Procedures being undertaken <b>Long Term</b> iii) Glasgow Clyde College Health and Safety and Safeguarding Committee and Campus Forums meet regularly to monitor health and safety arrangements and any issues are raised. iv) Safeguarding officers and safeguarding forum on each campus v) Health and Safety Officers working across the three campuses and ensure annual cycle of health and safety audits are completed vi) Regular reporting on Health and Safety to Organisational Development Committee as part of their remit requirements	2	5	10	Lower than Risk Appetite (Cautious)	G1	Short	10	No change
G2	Failure to meet all legislative and regulatory requirements and/or recommended guidance	Governance/ Reputational/ COVID Impacts	Theme 2, 4 & 5 - Partner of choice, Employer of Choice, & Financial Resilience through Operational Excellence	Principal/ Clerk to the Board	4	5	20	<b>Short Term</b> i) Close involvement in ongoing discussions on COVID 19 implications with SFC and representative forums to contribute towards sector input to seek support for current and future resultant challenges ii) Ongoing engagement at Board and Senior Leadership Team level with the SFC Review <b>Long Term</b> iii) Work within roles, responsibilities and legal implications of Legislation and associated related guidance. iv) Liaison with and maintaining ongoing dialogue with relevant bodies e.g. SFC, GCRB and Scottish Government. College ensure full knowledge and implementation of legislative, regulatory and guidance requirements including requirements of Financial Memorandum with GCRB. v) Individual managers required to keep up to date with legislation relating to their areas and implement appropriate controls vi) Ensure Board have appropriate training on key guidance and legislation and take proactive role in ensuring meet all requirements. vii) Modern Slavery statement in place viii) Quality audit process in place and DELTA project delivering greater levels of blended learning with staff. Internal audit review process considers range of areas annually. ix) Seek legal advice as required. x) Data Protection Officer in place to advise on General Data Protection Regulation/ Data Protection matters.	3	3	9	Lower than Risk Appetite (Minimalist)	G2	Medium	9	No change
G3	Failure to recruit, train and retain an appropriately experienced Board of Management	Governance	Theme 1, 2, 3, 4 & 5 - inspirational Learning & Teaching, Partner of Choice, Unrivalled Student Experience, Employer of Choice, & Financial Resilience through Operational Excellence	Clerk to the Board	3	4	12	<b>Long Term</b> i) Continue to maintain membership of Board of Management at suitable level with the correct level and mix of skills. Succession planning taking place with the Nominations Committee considering future vacancies well in advance. ii) Recruitment of new Board members to consider diversity of membership (e.g. gender and ethnic background) iii) Annual self assessment for Board members and training provided as required. iv) Board effectiveness review completed. v) Induction provided for all new Board members. vi) Ensure Board undertake an ongoing programme of training to meet CPD needs. vii) Board member handbook in place and an annual review/update to be undertaken. viii) New Clerk to the Board has commenced in post.	2	3	6	Lower than Risk Appetite (Averse)	G3	Medium	6	No change