

GLASGOW CLYDE COLLEGE - STRATEGIC RISK REGISTER										as at end February 2017					
						Score Before Mitigating Actions				Score After Mitigating Actions					
Risk Ref	New Risk Description	Old Risk Descriptions	Risk Category	Link to Development Plan Goal	Risk Owner	Probability	Impact	Risk Score	Mitigating Actions	Probability	Impact	Risk Score	Risk Ranking after mitigating actions	Risk Score at last report to the Board	Risk Increasing/Decreasing/No Change
Financial Risks															
F1	Adverse Funding changes (SFC/SDS/ESF)	Two previous risks - Adverse SFC revenue funding changes/ Adverse SFC capital changes	Financial	Goal 4 - Ensuring operational effectiveness and efficiency	Principal/ Vice Principals	5	5	25	i) Financial plans developed and monitored within framework of available activity funding through Glasgow Regional funding for teaching, student support funds and capital. ii) Continue to aim to inform and influence funding allocations through Principals Forum, Glasgow Colleges Regional Board, MSPs, and other appropriate bodies. iii) Discussions ongoing on future SFC funding model within the Region. iv) Projects progressed to address priority items as per College Capital masterplan based on affordability and potential for applications to Foundation v) Work with Colleges Scotland and WOSCOP on lobbying regarding impact on ESF funding and development of future alternative resources vi) Ensure ongoing dialogue with SDS	5	4	20	F1	N/A	N/A
F2	Failure to achieve contracted overall teaching delivery targets for any key partner (SFC/SDS/ESF)	Three previous risks - Failure to achieve contracted ROA and other targets for student activity within stated margins/ Significant externally driven curriculum change/ and New/increased competition	Organisational/ Financial	Goal 1 & Goal 2 - Delivering exceptional learning opportunities, & growing exceptional partnerships	Vice Principal - Curriculum & External Relations	4	5	20	i) Plan and deliver portfolio to required quality standards, ensuring appropriate recruitment, retention and profile of students. ii) 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 iii) Ensure stated targets are met. iv) All commercial activity costed at planning stage to ensure viability within required criteria. v) Work closely with relevant partners to ensure programmes implemented as planned vi) Ensure all relevant agency e.g. SDS milestones and documentation requirements achieved. vii) Effective competitor analysis, clear branding and focused marketing	3	5	15	F2	N/A	N/A
F3	Failure to achieve surplus targets for non-SFC/ commercial activity	Failure to achieve surplus targets for non-SFC/ commercial activity	Financial	Goal 3 & Goal 4 - Contributing to the local, regional and national economy, & ensuring operational effectiveness and efficiency	Assistant Principal International and Business Development	4	5	20	i) Regular monitoring between Business Development Unit and Faculty Management and replacement activity identified as required. ii) Costing templates completed for all commercial activity iii) Increased engagement and marketing effort to maintain current business but also to open and grow new income streams. iv) Spread of activity across a range of activity areas to reduce risk of one large contract failure to overall surplus. v) Review and develop market opportunities through commercial strategy and grow new markets.	3	5	15	F3	N/A	N/A
Organisational Risks															
O1	Negative impact on employee relations (e.g. national bargaining, industrial action, local consultation)	Three previous risks of Potential Impacts of National Bargaining Process/Industrial Action/ Negative Impact on Employee Relations	Organisational / Reputational	Goal 1 & 2 - Delivering exceptional learning opportunities & Growing exceptional partnerships	Principal/ Assistant Principal HR	5	5	25	i) Focused work with Trade Unions, specific and regular meetings, ensuring good flow of information, and ongoing communications. ii) Regular direct communication with staff e.g. staff briefings, focus groups. iii) Representation made through Employers Association Group, Colleges Scotland, Principals Forum, and GCRB, within national bargaining process. iv) Emphasis being made nationally on imperative of financial sustainability and affordability issues particularly given increased staffing costs and challenges of the Glasgow Regional context. v) Discussion with unions on impact on College financial sustainability and organisational impacts. vi) Business continuity planning used to ensure all stakeholders appropriately communicated with in any potential industrial action.	4	5	20	O1	N/A	N/A
O2	Failure of College operational processes/ systems /ICT infrastructure (including risk of fraud)	Two previous risks - Catastrophic failure of ICT systems/infrastructure or cyber attack on College/ Failure of College operational processes/systems (including risk of fraud)	Organisational	Goal 1 & 4 -Delivering exceptional learning opportunities & Ensuring operational effectiveness and efficiency	Vice Principal Resources & College Development & Vice Principal-Curriculum & External Relations	4	5	20	i) Monitoring systems in place and feedback from relevant staff. Any issues addressed as necessary and action taken. 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. v) Member of JISC Information Security service which provides support to secure against cyber attack and regular ICT network penetration testing undertaken. vi) ICT backup procedures and Disaster Recovery planning. Penetration testing exercise completed. vii) Web filtering technology in place and uninterruptable power supply in place. viii) Fraud response plan in place	3	5	15	O2	N/A	N/A
O3	Failure to achieve effective workforce planning	Failure to recruit and retain appropriate staff / high absence rate / skill shortages/ loss or absence of key staff members	Organisational/ Reputational	Goal 2 & 4 - Growing exceptional partnerships & Ensuring operational effectiveness and efficiency	Assistant Principal HR	4	5	20	i) Recruitment and retention of staff for some skills areas remains challenging and College continues to use a range of approaches as appropriate. ii) Maintain open channels of communication with trade unions, college managers and their staff, and effective attendance management process in place. iii) All new staff have an induction process and annual training programme undertaken. iv) Cover to be arranged as required for absence of key staff members. v) Provide appropriate CPD for all staff to meet identified skills gaps	3	4	12	O3	N/A	N/A
O4	Failure to achieve a sustainable fit for purpose College estate	Property issues	Organisational/ Financial	Goal 4 - Ensuring operational effectiveness and efficiency	Vice Principal - Resources & College Development	4	3	12	i) Capital masterplan in place and related to estates condition survey which highlight required investment to maintain estates. ii) Work with GCRB and SFC to ensure fully informed of estates requirements iii) Alternative temporary accommodation for horticulture and landscaping provision in place and new build proposal underway. iv) Residences actions being taken re dilapidations works required and dialogue with administrator re potential sale or irritation of lease agreement.	3	3	9	O4	N/A	N/A

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O5	High Impact Disaster for College e.g. fire, long term power loss (possible merge with O2)	High Impact Disaster for College e.g. fire, long term power loss	Organisational	Goal 4 - Ensuring operational effectiveness and efficiency	Vice Principal - Resources & College Development	3	5	15	i) Health and safety risk assessments in place and required testing and audits completed ii) Business Continuity Plan in place. iii) Test exercises undertaken with any related changes actioned. iv) Estates condition survey prepared and required projects planned. v) Business interruption insurance in place	2	4	8	O5	N/A	N/A
O6	Failure to achieve acceptably high standard quality of teaching delivery and support for students	Failure to achieve acceptably high standard quality of teaching delivery and support for students	Organisational/Financial	Goal 1 - Delivering exceptional learning opportunities	Vice Principal - Curriculum & External Relations	3	2	6	i) Monitor KPIs across all subject areas and act to address areas of concern. ii) Quality mechanisms undertaken through annual cycle including self evaluation and internal and external verification processes. iii) Heads of Curriculum and Unit Managers monitor quality and delivery of service during year and follow up on any issues. iv) Work with students association, class reps and student feedback mechanisms to monitor feedback on quality and follow up on any issues	2	2	4	O6	N/A	N/A
Governance Risks															
G1	Failure to meet all legislative and regulatory requirements and/or recommended guidance	Three previous risks - Failure to meet all legislative and regulatory requirements and/or recommended guidance/ Audit Scotland Section 22 Report and potential impacts/ Disruption of relationship with key governing organisations	Governance/Reputational	Goal 4 - Ensuring operational effectiveness and efficiency	Principal/ Clerk to the Board	4	5	20	i) Work within roles, responsibilities and legal implications of Post-16 Legislation and associated related guidance. ii) Liaison with and maintaining ongoing dialogue with relevant bodies e.g. SFC, GCRB and Scottish Government. iii) College ensure full knowledge and implementation of legislative, regulatory and guidance requirements including requirements of Financial Memorandum with SFC. iv) Individual managers required to keep up to date with legislation relating to their areas and implement appropriate controls v) Ensure Board have appropriate training on key guidance and legislation and take proactive role of Board in ensuring meet all requirements. vi) Seek legal advice as required. vii) Prepare relevant people for potential attendance at Public Audit Committee in relation to Section 22 report and PR/media strategy and Board briefing pack to be developed	3	4	12	G1	N/A	N/A
G2	Failure to recruit, train and retain an appropriately experienced Board of Management	Failure to recruit, induct and retain an appropriately experienced Board of Management	Governance	Goal 4 - Ensuring operational effectiveness and efficiency	Clerk to the Board	3	4	12	i) Continue to maintain membership of Board of Management at suitable level with the correct level and mix of skills. ii) Annual self assessment for Board members and training provided as required. iii) Induction provided for all new Board members. iv) Ensure Board undertake an ongoing programme of training to meet CPD needs. v) Board member handbook in place and an annual review/update to be undertaken.	1	3	3	G2	N/A	N/A
G3	Failure to comply with Health and Safety requirements	Failure to comply with Health and Safety requirements	Organisational	Goal 4 - Ensuring operational effectiveness and efficiency	Assistant Principal HR	1	5	5	i) Glasgow Clyde College Health and Safety Committee and Campus Forums meet regularly to monitor health and safety arrangements and any issues are raised. ii) Health and Safety Officers working across the three campuses. iii) Health and safety governance internal audit completed. iv) Regular reporting on Health and Safety to Organisational Development Committee as part of their remit requirements.	1	4	4	G3	N/A	N/A
Previous Risk register items which are ends or embedded within other risks hence removed as separate items															
1	N/A	Failure to achieve financial sustainability for 2016/17 and future years. (This risk cross refers to all other financial related risks)	Financial		Vice Principal Resources	5	5	25	i) Financial sustainability is monitored on ongoing basis. ii) Regular reporting to Committee and Board. iii) Revenue Budget prepared for 2016/17. iv) Working within Glasgow region to aim to deliver sustainable revised activity distribution with reduced SFC funding levels, and cost pressure uplifts. v) Ensure efficient use of teaching staff and monitor and control costs for all areas.	4	5	20	N/A	N/A	N/A
10	N/A	Changing economic environment (other than SFC funding)	Financial		Vice Principal - Resources	5	4	20	i) Close monitoring of all external economic factors affecting the College. ii) College financial planning updated regularly to reflect any new anticipated changes	5	3	15	N/A	N/A	N/A
11	N/A	Impact of Office of National Statistics Reclassification	Financial		Vice Principal - Resources	5	4	20	i) Ensure compliance with requirements as a result of reclassification ii) Financial planning updated regularly as required and monthly returns to SFC being submitted. iii) Active membership of sector Reclassification Implementation Group which is looking at all consequences of reclassification.	5	3	15	N/A	N/A	N/A
18	N/A	College no longer assessed as a financial going concern	Financial		Vice Principal - Resources	3	5	15	i) This will continue to be monitored on an ongoing basis and formally assessed as part of the annual financial statements.	2	5	10	N/A	N/A	N/A
20	N/A	Cashflow issues	Financial		Director of Finance and Infrastructure	4	3	12	i) Cashflow forecasts submitted monthly to SFC as required. ii) Cash planning undertaken on a detailed basis with SFC funding transfers dependent on forecasts. iii) Timely invoicing for all sales areas.	3	3	9	N/A	N/A	N/A