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

as at mid May 2017

Risk Ref	New Risk Description	Risk Category	Link to Development Plan Goal	Risk Owner	Score Before Mitigating Actions			Mitigating Actions	Score After Mitigating Actions			Risk Ranking after mitigating actions	Risk Score at last report to the Board	Risk Increasing/ Decreasing/ No Change
					Probability	Impact	Risk Score		Probability	Impact	Risk Score			
Financial Risks														
F1	**Adverse Funding changes (SFC/SDS/ESF)**	Financial	Goal 4 - Ensuring operational effectiveness and efficiency	Principal/ Vice Principals	5	5	25	i) Financial plans developed by College Senior Management 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 at GCG meetings 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 Scotland's Colleges Partnership on lobbying regarding impact on ESF funding and development of future alternative resources vi) Ensure ongoing dialogue with SDS	5	4	20	F1	20	Increasing
F2	**Failure to achieve contracted overall teaching delivery targets for any key partner (SFC/SDS/ESF)**	Organisational/ Financial	Goal 1 & Goal 2 - Delivering exceptional learning opportunities, & growing exceptional partnerships	Vice Principal - Curriculum & External Relations	4	5	20	i) Annually 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 teaching activity targets are met. iv) All commercial activity costed at the 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) College undertake effective competitor analysis, clear branding and focused marketing to maintain effective student recruitment	3	5	15	F2	15	No Change
F3	**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 of non-SFC commercial activity 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. vi) Keep informed of constitutional change implications of Brexit and impact on non-SFC activity for the College(new mitigating action added).	3	5	15	F3	15	Increasing
Organisational Risks														
O1	**Negative impact on employee relations (e.g. national bargaining, industrial action, local consultation)**	Organisational / Reputational	Goal 1 & 2 - Delivering exceptional learning opportunities & Growing exceptional partnerships	Principal/ Assistant Principal HR	5	5	25	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) 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	20	Increasing
O2	**Failure of College operational processes/ systems /ICT infrastructure (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 across College 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	15	No Change

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O3	Failure to recruit and retain an appropriately skilled and effective workforce	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 arranged as required for absence of key staff members. v) Appropriate CPD provided for staff to meet identified skills gaps	3	4	12	O3	12	No Change
O4	Failure to achieve a sustainable fit for purpose College estate	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 highlights required investment to maintain College estate. 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 project being implemented. iv) Action being taken on Langside residences and dialogue ongoing with administrators on potential sale or irritation of lease agreement.	3	3	9	O4	9	No Change
O5	High Impact Disaster for College e.g. fire, long term power loss (possible merge with O2)	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 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	2	4	8	O5	8	No Change
O6	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	4	12	i) Monitor of teaching KPIs across all subject areas and action taken 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) Faculty staff 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	4	No Change
Governance Risks														
G1	Failure to meet all legislative and regulatory requirements and/or recommended guidance	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 vii) Prepare for General Data Protection Regulation coming into force in May 2018 (new mitigating action added)	2	4	8	G1	8	Increasing
G2	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 and ensure annual cycle of health and safety audits are completed iv) Regular reporting on Health and Safety to Organisational Development Committee as part of their remit requirements.	1	4	4	G3	4	No Change
G3	Failure to recruit, train 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	3	No Change