
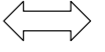
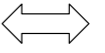
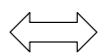
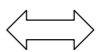



| GLASGOW CLYDE COLLEGE STRATEGIC RISK REGISTER | | | | | | | as at 9th December 2016 | | | | | | |
|---|---|---------------------------|--|---------------------------------|--------|------------|---|--------------------------------|--------|------------|---------------------------------------|--|--|
| Risk Ref | Risk Description | Risk Category | 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 in Oct 2016 | Risk Increasing/ Decreasing/ No Change |
| | | | | Probability | Impact | Risk Score | | Probability | Impact | Risk Score | | | |
| 1 | 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 and College Development | 5 | 5 | 25 | i) Financial sustainability is monitored on ongoing basis and longer term financial planning is discussed with the Board. 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 | 1 | 20 | No Change ↔ |
| 2 | Potential Impacts of National Bargaining Process (links to risks 5 and 13) | Financial/ Organisational | Principal | 5 | 5 | 25 | i) Representation made through Employers Association Group, Colleges Scotland, Principals Forum, and GCRB, within national bargaining process. ii) Emphasis being made nationally on imperative of financial sustainability and affordability issues particularly given increased staffing costs and challenges of the Glasgow Regional context. iii) Discussion with unions on impact on College financial sustainability and organisational impacts. | 4 | 5 | 20 | 2 | 20 | No Change ↔ |
| 3 | Adverse SFC revenue funding changes | Financial | Principal | 5 | 5 | 25 | i) Financial plans developed within framework of reduced activity funding through Glasgow curriculum review and reduced regional funding for student support funds and capital. ii) Continue to aim to inform and influence SFC 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. | 5 | 4 | 20 | 3 | 20 | No Change ↔ |
| 4 | Significant externally driven curriculum change | Organisational | Vice Principal - Curriculum and External Relations | 5 | 5 | 25 | i) Significant level of involvement in discussions on the regional curriculum with other Glasgow Colleges and SFC in line with Government and SFC guidance. ii) Ensure impact of any requested change to level and/or type of curriculum, as well as consequent changes in funding allocations, are fully modelled prior to agreement and implementation. | 5 | 4 | 20 | 4 | 20 | No Change ↔ |
| 5 | Negative impact on employee relations (Links to risk 2 and 13) | Organisational | Assistant Principal - Organisational Development | 5 | 5 | 25 | i) Focussed work with Trade Unions, specific and regular meetings, ensuring good flow of information, and ongoing communications. ii) Regular staff briefings held to communicate directly with all staff. | 4 | 4 | 16 | 5 | 16 | No Change ↔ |
| 6 | Catastrophic failure of ICT systems/infrastructure or cyber attack on College | Organisational | Vice Principal - Resources and College Development | 5 | 5 | 25 | i) Infrastructure designed not to have single points of failure with all campuses operating a sophisticated dual-core network topology. ii) Virtualisation infrastructure which improves server resilience with two main data centres at different campuses. iii) ICT backup procedures and Disaster Recovery planning. Penetration testing exercise completed. iv) Replacement of the firewall has improved and standardised security at all three campuses. v) Web filtering technology in place. vi) Room based uninterrupter power supply system installed at two main data centres to provide high availability and protection from mains disturbances. | 3 | 5 | 15 | 6 | 15 | No Change ↔ |
| 7 | Failure to achieve contracted ROA and other targets for student activity within stated margins | Organisational/ Financial | Vice Principal - Curriculum and External Relations | 4 | 5 | 20 | i) Plan and deliver portfolio to required quality standards, ensuring appropriate recruitment, retention and profile of students. ii) Take appropriate action to ensure stated targets met. iii) All commercial activity costed at planning stage to ensure viability within required criteria. iv) Work closely with relevant partners to ensure programmes implemented as planned v) Ensure all relevant agency e.g. SDS milestones and documentation requirements achieved. | 3 | 5 | 15 | 7 | 15 | No Change ↔ |

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| 8 | Adverse SFC capital funding changes | Financial | Vice Principal - Resources and College Development | 5 | 4 | 20 | i) Projects progressed to address priority items as per College Capital Masterplan. ii) Original funding allocation for 2016/17 was significant reduction to Region and to College however College successfully bid for £1.1M of the additional capital allocation in October. iii) College plans phased based on affordability and potential for applications to Foundation for some projects. | 5 | 3 | 15 | 8 | 15 | No Change ↔ |
| 9 | Changing economic environment (other than SFC funding) | Financial | Vice Principal - Resources and College Development | 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 | 9 | 15 | No Change ↔ |
| 10 | Impact of Office of National Statistics Reclassification | Financial | Vice Principal - Resources and College Development | 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 | 10 | 15 | No Change ↔ |
| 11 | Audit Scotland Section 22 Report and potential impacts | Reputational | Clerk to the Board | 5 | 4 | 20 | i) Prepare senior management for potential attendance at Public Audit Committee. ii) PR/media strategy to be developed associated with the section 22 report. iii) Board to be provided with briefing pack and standard media response to be developed. | 5 | 3 | 15 | 11 | 15 | No Change ↔ |
| 12 | Failure to achieve surplus targets for non-SFC/ commercial activity | Financial | 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 in 2016-17. iv) Spread of activity across a range of activity areas to reduce risk of one large contract failure to overall surplus. | 3 | 5 | 15 | 12 | 15 | No Change ↔ |
| 13 | Industrial Action (Links to risks 2 and 5) | Organisational/ Reputational | Principal | 3 | 5 | 15 | i) Business continuity planning used to ensure all stakeholders appropriately communicated with in any potential industrial action. ii) Plans to minimise disruption where possible especially where action will impact on students' ability to continue/complete courses successfully. | 3 | 4 | 12 | 13 | 20 | Decreasing |
| 14 | Failure to meet all legislative and regulatory requirements and/or recommended guidance | Governance/ Reputational | Principal | 4 | 5 | 20 | i) Maintain ongoing dialogue with relevant bodies e.g. SFC and GCRB. ii) College ensure full knowledge and implementation of legislative, regulatory and guidance requirements including requirements of Financial Memorandum with SFC. iii) Individual managers required to keep up to date with legislation relating to their areas and implement appropriate controls iv) Seek legal advice as required. | 3 | 4 | 12 | 14 | 12 | No Change ↔ |
| 15 | Failure to recruit and retain appropriate staff / high absence rate / skill shortages/ loss or absence of key staff members | Organisational/ Reputational | Assistant Principal - Organisational Development | 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. | 3 | 4 | 12 | 15 | 12 | No Change ↔ |
| 16 | Disruption of relationship with key governing organisations | Governance/ Reputational | Principal | 3 | 5 | 15 | i) Work within roles, responsibilities and legal implications of Post-16 Legislation and associated related guidance. ii) Working closely with GCRB Executive Officer on appropriate policies, procedures and reporting framework. iii) Glasgow Colleges Group meet to input and link within Region and attend GCRB. iv) Liaison with SFC and Scottish Government on all relevant matters. v) Proactive role of Board in ensuring meet all Post-16 legislation requirements. vi) Monitor developments following of Enterprise and Skills Review and impacts | 3 | 4 | 12 | 16 | 8 | Increasing |

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| 17 | College no longer assessed as a financial going concern | Financial | Vice Principal - Resources and College Development | 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 | 17 | 10 | No Change |
| 18 | Failure of College operational processes/ systems (including risk of fraud) | Organisational | Vice Principal - Curriculum & Ext. Rels/ Vice Principal Resources & College Dev. | 4 | 4 | 16 | i) Monitoring systems in place and feedback from relevant staff. ii) Any issues addressed as necessary and action taken. iii) Meetings as required of senior managers to resolve operational issues timeously. iv) Fraud response plan in place. | 3 | 3 | 9 | 18 | 9 | No Change |
| 19 | Property issues | Organisational/ Financial | Vice Principal - Resources and College Development | 4 | 3 | 12 | i) Capital masterplan in place and related to estates condition survey which highlight required investment to maintain estates. ii) Alternative temporary accommodation for horticulture and landscaping provision and new build proposal underway. iii) Residences actions being taken re dilapidations works required and dialogue with administrator re potential sale/irritation of lease agreement. | 3 | 3 | 9 | 19 | 9 | No Change  |
| 20 | New / Increased competition | Organisational/ Financial | Principal | 4 | 3 | 12 | i) Participation in national/regional groups to influence issues regarding potential competition. ii) Discussions within Glasgow Colleges Group and with other partners. iii) Effective competitor analysis, clear branding and focused marketing. | 3 | 3 | 9 | 20 | 9 | No Change  |
| 21 | Cashflow issues | Financial | Assistant Principal - 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) Timeous invoicing for all sales areas. | 3 | 3 | 9 | 21 | 9 | No Change  |
| 22 | High Impact Disaster for College e.g. fire, long term power loss | Organisational | Vice Principal - Resources and College Development | 3 | 5 | 15 | i) Business Continuity Plan in place. ii) Test exercises undertaken with any related changes actioned. iii) Estates condition survey prepared and required projects planned. iv) Derogation to continue commercial insurance in place | 2 | 4 | 8 | 22 | 8 | No Change  |
| 23 | Failure to achieve acceptably high standard quality of teaching delivery and support for students | Organisational/ Financial | Vice Principal - Curriculum and External Relations | 3 | 2 | 6 | i) Monitor KPIs across all subject areas. ii) Quality mechanisms undertaken through annual cycle including self evaluation and internal and external verification processes. iii) Heads of Curriculum monitor quality during year and follow up on any issues. | 2 | 2 | 4 | 23 | 4 | No Change |
| 24 | Failure to comply with Health and Safety requirements | Organisational | Assistant Principal - Organisational Development | 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. | 1 | 4 | 4 | 24 | 4 | No Change  |
| 25 | Failure to recruit, induct and retain an appropriately experienced Board of Management | Governance | Principal | 3 | 4 | 12 | i) Recruitment of new Board of Management members now undertaken and majority of vacancies now filled including new Chair. ii) Induction training held and annual training assessment for Board members to be undertaken. | 1 | 3 | 3 | 25 | 3 | No Change  |