Item 06
For Approval

GLASGOW KELVIN COLLEGE

AUDIT AND RISK COMMITTEE – 23 MARCH 2021

RISK MANAGEMENT UPDATE

REPORT BY VICE PRINCIPAL OPERATIONS & DIRECTOR OF CORPORATE SERVICES

1. Introduction

The Terms of Reference of the Audit and Risk Committee confer a number of responsibilities in relation to Risk, as detailed below:

Risk Management & Assurance Framework

1. Advise the Board on the Risk Appetite Statement and Risk Register;
2. Review the Risk Management Strategy in line with the review schedule;
3. Conduct a risk review of the College in collaboration with internal/external audit and advise the Board accordingly;
4. Review the Risk Register at each meeting;
5. Review the Assurance Framework and recommend the Framework to the Board of Management.

The purpose of this paper is to assist the Committee to discharge these responsibilities and this update will focus on points 1, 4 and 5 above.

The update report covers:

3. Audit and Risk Committee
4. Risk Appetite Statement
5. Risk Register Review
6. Proposed Changes to the Risk Register Format

2. Executive Summary

- The Risk Management Committee had its scheduled quarterly meeting on 23 February 2021. The main focus of the risk discussions was the ongoing and new concerns relating to COVID-19 as well as a number of other emerging risk identified from horizon scanning and feedback from Committee members, summarised at section 3 below.

- No changes have been recommended to the existing Risk Appetite Statement, which is set by the Board.

- During the detailed review of the Risk Register, formatting errors were discovered which meant that the Register submitted to the Audit and Risk Committee in November 2020 and the Board in December 2020 was incorrect. A summary of the changes is provided at section 5, with the detail provided at **Appendix 3**.

- A number of changes have been made to the Risk Register since it was last presented to the Committee. These are noted in red on the Risk Register attached at **Appendix 4** and summarised in a table at section 5. The risk profile of the College has improved over the last three months. The Strategic Risk Register is attached at **Appendix 5**.

- A proposed revised format for the Risk Register is attached at **Appendix 6**, with the detail of the changes provided in section 6.

3. Audit and Risk Committee

The College operates a Risk Management Committee chaired by the Director of Corporate Services which meets four times a year to consider risk management issues.

The Risk Management Committee most recently met on 23 February 2021 and considered the Risk Register in detail. A number of new and emerging risks were discussed in detail including: the potentially longer term impacts of COVID-19: the confidence of staff and students in returning to on site working and learning; increased mental health issues; erosion of social cohesion; widespread youth disillusionment; digital inequality; and prolonged economic stagnation. In addition there was discussion of a number of other key areas: the potential budget settlement; climate action challenges and risks; the ongoing significant cyber risks; potential failures in technology governance; potential changes in consumer demands and purchasing behaviour; the Voluntary Severance Scheme which can cause unrest/disharmony and disappointment/lack of motivation for unsuccessful applicants and the need for organisational resilience to manage these emerging risks. Some proposed changes have been made to the wording of the Risk Register to capture the key points.

At this Risk Management Committee meeting, due cognisance was taken of key risk reports; links provided below:

- **Institute of Risk Management (IRM): Risk Predictions 2021- Resilience, Risk and Recovery**
- **RSM: Managing Risk in a COVID-19 World - December 2020**
- **World Economic Forum: The Global Risks Report 2021 16th Edition Insight Report**

The approved minutes of the Risk Management Committee on 27 October 2020 are attached at **Appendix 1** for information.

4. Risk Appetite Statement

The Risk Appetite Statement is integrated within the Risk Register and is attached within **Appendix 2** as approved by the Board of Management at its meeting on 7 December 2020. It sets the Risk Framework within which the Board require the management team to operate. No changes to this Risk Appetite are recommended at this time.

5. Risk Register Review

During the detailed review of the Risk Register, formatting errors in relation to the conditional formatting formulae were discovered which meant that the Register submitted to the Audit and Risk Committee in November 2020 and the Board in December 2020 was incorrect, with 20 of the 32 scores incorrect.

A summary of the changes is provided in the table below, which also highlights the changing risk profile since May 2017. Full detail is provided in **Appendix 3**.

Risk Grading	May 2017	Nov 2018	Sept 2019	Nov 2019	June 2020	Sept 2020	Original Nov 2020	Correct Nov 2020	March 2021
Red	8	9	8	8	17[1]	18	16	8	2
Amber	26	14	15	15	10	9	11	18	25
Green	11	9	9	8	5	5	5	6	6
Total	**45**	**32**	**32**	**31**	**32**	**32**	**32**	**32**	**33**

The Risk Register, attached at **Appendix 4**, is a dynamic document which takes account of the changing environment faced by the College. Risk is considered as a matter of course at all Board of Management, Standing Committees and internal College meetings. As a consequence of this approach, changes are recommended throughout the year.

The Risk Register also incorporates a Strategic Risk Register at **Appendix 5** which seeks to identify a small number of items which present a strategic risk to the College's ability to achieve its Mission and Vision or operate in a sustainable way. The Strategic Risk Register has not been changed at this point, but the Committee is asked to consider whether the Strategic Risks should be revised in light of the changes to the organisational Risk Register.

The detailed Risk Register seeks to outline the main risks across all operational Risk Categories of the College and highlights those which are either most likely to occur and/or would have the biggest impact.

While the ongoing effects of COVID-19 continues to be a major risk to the College as reported to both the Audit and Risk Committee and Board of Management in November and December 2020, there are only two residual Critical Risks at March 2020: one relates to a potentially unfavourable change in allocation of sectoral funding and the other is a new risk relating to evidence to support ESF funding.

Due to COVID-19, the financial situation of the College continues to be challenging, but the Quarter 2 Forecast was positive and the drawdown of funds from the Glasgow Kelvin Learning Foundation – SCIO will take place as per the College's Business Transformation and Renewal Plan.

As reported by the Scottish Government, there are increased levels of poor mental health caused by the COVID-19 restrictions. This applies to both staff and students; the College continues to provide support via councillors, Togetherall and PAM assist.

At its recent meeting, the Risk Management Committee considered the Risk Register in detail. Furthermore, there were additional meetings with Risk Owners and those responsible for managing risk which resulted in changes to the narrative, which are highlighted in red on the Risk Register and Risk Scores.

Since the Register was last presented to the Committee there have been 10 changes – 7 Critical Risks have reduced to Undesirable; 2 Undesirable Risk Scores have reduced; and one new risk has been added. The Risks Scores which have changed are detailed in the table below, together with the reasons for the change.

It is worth noting that while digital and cyber risks remain high for all organisations and necessitate extreme vigilance, the College has robust systems and controls in place, with plans to further enhance this key area; the revised scoring reflects this position.

The Risk Register is also shared with GCRB on a regular basis; GCRB collate summary information from all three Glasgow colleges periodically.

Risk	Score Nov 2020	Rating Nov 2020	Score Mar 2021	Rating Mar 2021	Trend	Reason for Change
Unfavourable change in the allocation of resources/student activity by the SFC/GCRB to the College results in the College having to reduce costs further and operate with less income. This would result in a poorer quality of provision. (Review ongoing - SFC - Coherence and Sustainability - A Review of Scotland's Colleges and Universities.)	16	Critical	12	Undesirable	↓	Likelihood reduced from Likely (4) to Possible (3) due to the positive nature of current discussions and where we are in the year. Consequence is unchanged.
Failure to maintain Financial Sustainability resulting in the College having to progress into a recovery plan resulting in reputational damage and increased monitoring by GCRB and the SFC. It is also likely to result in severe reductions in spend and loss of other income sources; also reputation decline.	16	Critical	12	Undesirable	↓	Likelihood reduced from Likely (4) to Possible (3) due to the positive Quarter 2 Forecast and progress in implementing the T&R Plan. Consequence is unchanged.
College fails to secure budgeted income resulting in deficits and associated cash-flow and financial sustainability issues.	12	Undesirable	9	Undesirable	↓	Likelihood is unchanged. Consequence changed from Major (4) to Moderate (3) due to the value of funds at risk per the Quarter 2 Forecast.
SFC Clawback funding provided in prior years or make an in-year adverse adjustment to grant funding. This would result in increased risks associated with cash flow and financial sustainability.	12	Undesirable	9	Undesirable	↓	Likelihood reduced from Likely (4) to Possible (3) again due to the positive nature of current discussions and past experience. Consequence is unchanged.
Access Control - Inappropriate access is made to ICT systems or inappropriate use by authorised users resulting in disruption to learning and teaching, ability of the College to operate, disruption to governance processes and systems dependent upon the network and potential loss of personal data held.	16	Critical	12	Undesirable	↓	Likelihood reduced from Likely (4) to Possible (3) again to reflect the controls in place, supported by a recent cyber resilience desktop exercise. Consequence is unchanged.
Training and cyber awareness of users - Lack of security awareness of staff and students increases the likelihood of an attack or data leak/breach via phishing, running unwanted software scams or processing errors. Thus, resulting in loss of service, fines, or reputational damage. The increasing trends of sophisticated ransomware attacks can cause severe operational issues – normally introduced via user error.	16	Critical	12	Undesirable	↓	Likelihood reduced from Likely (4) to Possible (3) again to reflect the current position and controls in place, supported by a recent cyber resilience desktop exercise. Consequence is unchanged.
Loss of key staff resulting in increased risk across the operational activities of the College.	15	Critical	9	Undesirable	↓	Likelihood reduced from Almost Certain (5) to Possible (3) again to reflect the current position now that key senior post has been filled. Consequence is reduced from Major (4) to Moderate (3).
High absence rates (particularly in relation to the Coronavirus and all related knock-on effects of this ie poor mental health, childcare issues etc) makes it impossible to provide appropriate quality/level of planned services.	20	Critical	12	Undesirable	↓	Likelihood reduced from Almost Certain (5) which was scored due to concerns over the impact of COVID-19 to Possible (3) again to reflect the positive absence statistics. Consequence is unchanged.
The College is unable to deliver some or all of its services or meet its statutory obligations as a consequence of an unforeseen event such as: an act of terrorism, a public health event, extreme weather, civil unrest, disruption to transport and public infrastructure systems, flood or fire.	20	Critical	12	Undesirable	↓	As with the Absence Rate Risk, Likelihood reduced from Almost Certain (5) to Possible (3) again to reflect the positive absence statistics. Consequence is unchanged.
The college does not receive any ESF (DSW) payment or partial payment. This would be due to managing agent not adapting evidence requirements in light of COVID and continuing to require physical evidence and original signatures whilst students are not in college.			16	Critical		**New Risk**

6. Proposed Changes to the Risk Register Format

The current presentation format of the Risk Register is not in line with best practice and a revised format is proposed attached at **Appendix 6**.

If the Audit and Risk Committee endorse this new format, it will then be presented to the Board in June for approval with introduction in Academic Year 2021/22.

The main changes are noted below:

- The Risk Register is currently split by Risk Appetite Category. This would now become a column, with the associated Risk Appetite noted in the next column so that the Residual Risk can be compared to this more easily when reviewing the Risk Register;
- Risks will then run numerically so that the total number of risks is clearly visible;
- A Date Identified column will be inserted after the Risk Reference Number column so that the length of time the risk has been live is clear;
- An additional Risk Title column has been inserted so that the risk area is immediately clear. The risk should then be detailed in the renamed Risk Description column, using the best practice approach of Risk, Cause and Effect;
- A Strategic Priority column has been inserted so that the risk can be directly linked to delivery of the College Strategy. The Risk Owner and Responsible Person columns, are effectively those that currently exist, although the named individuals should be employees of the College with the Board having overall responsibly for Risk, not actually owning these operationally;
- Next come new Inherent Risk Evaluation columns have been addedwhich are currently omitted from the College Risk Register. This would represent the risk if no actions were taken and serves to highlight the significance of this risk if untreated;
- The next new column is therefore Risk Treatment Approach, which highlights whether the risk is to be Tolerated, Transferred, Terminated or Treated;
- Thereafter remain the columns that are in the existing Risk Register - Controls and Mitigating Actions and then the Residual Risk Evaluation and the Movement in the Period, which are also in the existing Risk Register. However, there is a new column added for the Review Date;
- Also added is a column for Early Warning Mechanisms, Planned Next Steps & Future Action Required, followed by the final column detailing the Next Review Date.

7. Resource Implications

There are no additional resource implications arising directly from the contents of this report. The resource implications facing the College as a consequence of the current operating environment are substantial, however, the whole sector is in the same situation. Financial Sustainability remains the primary strategic risk facing the College at present.

8. Risk & Assurance

There are no risks or perceived implications arising from this report that are not already recorded in the Risk Register or this paper.

9. Equality

There are no adverse impacts on individuals with protected characteristics arising from the contents of this report. As contained within the Risk Register, digital poverty is prevalent throughout the communities the College serves and there is a greater risk of student drop-out rates or non-engagement.

10. Data Protection

There are no new data protection risks arising from the contents of this report. Data protection continues to be explicitly identified as a risk within the Risk Register.

11. Recommendations

Members of the Audit and Risk Committee are recommended to:

i) note the contents of this report and appendices;
ii) review and approve the unchanged Risk Appetite Statement;
iii) note the errors in the previous Risk Register presented to the Committee in November 2020 and the Board in December;
iv) review and approve the revised Risk Register;
v) review the Strategic Risk Register and consider whether any changes should be made; and
vi) endorse the proposed new format for the Risk Register, which will then be presented to the Board for approval in June 2021.

12. Further Information

Members can obtain further information on the contents of this report from Jeanette Evans, Vice Principal Operations at jevans@glasgowkelvin.ac.uk or Lisa Clark, Director of Corporate Services at lisaclark@glasgowkelvin.ac.uk.

Jeanette Evans
Vice Principal Operations
Glasgow Kelvin College
March 2021

Lisa Clark
Director of Corporate Services
Glasgow Kelvin College
March 2021

Appendix 1

Glasgow Kelvin College

Risk Management Group

Minute of Meeting held on Tuesday, 27 October 2020 at 2pm online using Microsoft Teams

Item	Action Agreed	Member of SMT Responsible	Target Date
1	**Sederunt**		
	L Clark, Interim Assistant Principal (Chair); A Laszlo, Director of Digital Services (left 3pm); A McGhee, Director of Business Development (left 3pm); D Shiels, Director of Human Resources (left 2:50pm); I Gordon, Head of Facilities; M McKerlie, Head of Services to Support Learners; R MacKenzie, Senior Administration Officer; and J Carroll (recording purposes only)		
2	**Apologies**		
	D Smeall, Principal; G Lawson, Health and Safety Manager; J Gallagher, Quality Enhancement Development Manager; L Lang, Communications and Planning Manager; P Brown, Director of Planning Performance and Curriculum; P Currie, Equalities Manager.		
3	**Terms of Reference**		
	Members noted the content of the Terms of Reference for information purposes.		
4	**Minutes of Previous Meeting held on 31 August 2020**		
	The minutes were accepted as a true and accurate record of the business conducted at the previous meeting held on 31 August 2020.		
5	**Matters Arising from the Minutes of the Previous Meeting**		
	Item 5: Matters Arising from the Minute of the previous Meeting:		
	A McGhee reported that the College had resolved this matter with an agreed clawback of £14000 payable to the Scottish Funding Council regarding ESF Youth Initiative.		

Item	Action Agreed	Member of SMT Responsible	Target Date
	Item 7c: United Access		
	I Gordon reported that the College had scheduled preparatory work for the one-way road being implemented shortly by United Cash and Carry, Springburn.		
	Item 15c: HEFESTIS		
	R McKenzie would organise a Data Protection training session for the Human Resources Team through liaison with D Shiels.	**RMcK/ DS**	**TBA**
6	**Health and Safety**		
	There were no Health and Safety matters to consider.		
7	**Correspondence**		
	There were no correspondence matters to consider.		
8	**Finance**		
	There were no Finance matters to consider.		
9	**Glasgow Kelvin College**		
a)	**i) Complaints Handling Procedure**		
	L Clark spoke to the content of the Complaints Handling Procedure that was more elongated to comply with SPSO guidance. She requested members to note the content and provide feedback and comment. Members noted the content of the Complaints Handling Procedure 2020-21 for information purposes.		
	ii) Draft Complaints Handling Procedure Training		
	L Clark reported that Complaints Handling Procedure Training would be delivered by the Administration Team Leader. She requested members to note the content of the presentation and provide feedback and comment. Members noted the content of the Complaints Handling Procedure Training presentation for information purposes.		

Item	Action Agreed	Member of SMT Responsible	Target Date
b)	**Business Continuity Audit Report: Recommendations**		
	i) Recommendations		
	L Clark outlined that the Audit Report Recommendations would feature in Departmental and Faculty Business Recovery Plans. L Clark reported that she would liaise with A Laszlo prior to signing Recovery Plans in January 2021. Members noted the content of the Business Continuity Audit Report Recommendations for information purposes.	**LC/AL**	**01/2021**
	ii) Outbreak Management Procedure		
	Members discussed Outbreak Management Procedure that included files saved with Authentication to Microsoft Cloud and the rational to align the recovery process.		
10	**GDPR/Cyber Security**		
a)	**Computer Weekly E-Guide: Getting Cloud Security Right**		
	A Laszlo spoke to the content of the Computer Weekly E-~Guide that was aimed at System Administrators regarding security processes and administration. Members noted the content of the E-Guide for information purposes.		
b)	**GDPR/SARS Update**		
	R McKenzie reported that there was nothing major to report with very few Subject Access Requests (SARS) received by the college.		
c)	**TechRepublic Security Threat E-book**		
	A Laszlo summarised the information contained within the Threat E-book that included challenges within centralised security, which did not impact the college due to the Colleges distributed model, with recent investment in antivirus software and better monitoring software. He reported a Distributed Denial of Services (DDOS) attack took place recently at the Springburn Campus, which hackers tried to stage without success.		

Item	Action Agreed	Member of SMT Responsible	Target Date
	He reported that the Scottish Government Public Sector Action Plan required college staff to be aware of Cyber Security Threats. He opined that best practice methodology would be make Cyber Security Awareness training compulsory, to be delivered through WorkRite at a cost of £2000, which had been approved by the Quality Enhancement and Development Manager and that he was meeting with Administration Team Leader regarding this process. It was agreed that he would feedback to L Clark regarding the development of the WorkRite module so that this could be included on the Risk Register to mitigate the associated risk. Members noted the content of the TechRepublic Threat E-book for information purposes.	**AL**	**08/11/20**
11	**Insurance**		
a)	**UMAL**		
	i) Health and Safety and Risk Management Report: 3 September 2020		
	L Clark reported that the Health and Safety and Risk Management Report would be considered at the next Audit and Risk Board Committee. Members noted the content of the UMAL Management Report for information purposes.		
	ii) Property Risk Management Report: 3 September 2020		
	L Clark reported that the Property Risk Management Report would be considered at the next Audit and Risk Board Committee. Members noted the content of the UMAL Property Report for information purposes.		
	iii) Property Risk Management Report: Actions		
	L Clark reported that the Actions arising from the Property Risk Management Report would be considered at the next Audit and Risk Board Committee. Members noted the content of the Actions arising from the Property Risk Management Report for information purposes.		

Item	Action Agreed	Member of SMT Responsible	Target Date
	iv) UMAL – COVID-19 Business Interruption Cover		
	L Clark reported that the insurance claim regarding business interruption cover was not accepted by UMAL. Members noted the content of the correspondence for information purposes.		
	v) Business Interruption Claims and the Industry Test Case		
	L Clark highlighted that this document provided an overview of business interruption claims and that she would continue to try methods of recouping money for business interruption. Members noted the content of the correspondence for information purposes.		
b)	**Insurance Cover 2020-21: Audit and Risk Committee Report - NOT IN THE PUBLIC DOMAIN**		
	L Clark provided an overview of Insurance Cover 2020-21 that had similar costs to the previous academic session. Members noted the content of the Schedule of Cover Report for information purposes.		
12	**Estates**		
a)	**Master Room Register**		
	L Clark reported that the Master Room Register took into account the Scottish Government social distancing 2 metre rule and highlighted that I Gordon, G Lawson and R McKenzie were responsible for changes to room capacity. She requested members to note the content and provide feedback and comment. Following discussion, it was agreed that campuses should be inspected to ensure that appropriate social distancing signage was displayed properly in all campuses. Members noted the content of the Master Room Register for information purposes.	**LC**	**IMMED**

Item	Action Agreed	Member of SMT Responsible	Target Date
b)	**Glasgow City Council Foods Standards Agency and Atalian Servest (United Cleaning Solutions) COVID-19 Controls Verification Visit Correspondence regarding Springburn Campus**		
	L Clark spoke to the content of the correspondence outlining that the Foods Standards Agency had inspected the seating area, which was previously the restaurant at the Springburn Campus. Members noted the content of the correspondence for information purposes.		
13	**Human Resources**		
	D Shiels spoke about the Self-Assessment Tool and updated Scottish Government Occupational Risk Assessment. She apprised members that the Health and Wellbeing Workgroup had outlined that childcare, for staff with younger children, was an issue during the current pandemic.		
14	**Risk Management**		
a)	**Risk Appetite and Risk Register: Audit and Risk Committee Report – NOT IN THE PUBLIC DOMAIN**		
	L Clark took members through the content of the Risk Appetite and Risk Register. Members considered the Risk Register in detail and agreed the following:		
	• External Policy Context could be streamlined due to duplication and the updated SFC developments regarding the funding model contained in the SFC Review of Coherent Provision in Glasgow: ➢ members agreed, although the control measures to mitigate risk should remain;	**LC**	**08/11/20**
	• ICT College systems: Cyber Security training developments should be included to mitigate risk;	**LC**	**08/11/20**
	• Learning and Teaching: ➢ Risk Assessments of online teaching: ❖ A McGhee would liaise with L Clark regarding the content regarding Senior Phase Risk Assessments; ➢ M McKerlie reported that the Scottish Government recognised an increased risk to young learners Mental Health during the current pandemic: ❖ L Clark would liaise with M McKerlie regarding this content.	**AMcG/LC** **LC**	**08/11/20** **08/11/20**
	L Clark to liaise with individuals not present at the meeting in relation to their areas.	**LC**	**08/11/20**
	L Clark would update the Risk Register with the necessary changes and distribute the updated Risk Register to members for information purposes	**LC**	**08/11/20**

Item	Action Agreed	Member of SMT Responsible	Target Date
15	**Items for Information**		
a)	**HEFESTIS Threatscape Newsletter: 28 August 2020-16 October 2020**		
	R McKenzie summarised the content of the Newsletters that outlined the following: • Ransomware was currently a major threat; • COVID-19 scams; • data breaches (20/120 occurred in Education); • Zoom: rolling out end to end encryption to the Host; • rise in phishing: voice over internet, for example, telephone calls; • expiring security software: future issues for route software; and • Wireless Hotel Networks: Unsafe; Members noted the content of the HEFESTIS Threatscape Newsletters for information purposes.		
16	**Equality Management - Issues to be considered as a consequence of the consideration of the above**		
	Members agreed that the following new Equality Management issue was raised as a consequence of the meeting: • Mental Health: methods to ensure that students and staff are properly supported during the current pandemic.	**DS**	**IMMED**
17	**Risk Management - Issues to be considered as a consequence of the consideration of the above**		
	Members agreed that no new risk management issues were raised as a consequence of the meeting.		
18	**Data Protection – Issues to be considered as a consequence of the consideration of the above**		
	Members agreed that no new Data Protection issues were raised as a consequence of the meeting:		
19	**Closure**		
	L Clark thanked members for their attendance and contributions to the meeting. The meeting closed at 3.05pm.		

Item	Action Agreed	Member of SMT Responsible	Target Date
20	**Date of Next Meeting**		
	Tuesday, 23 February 2021 at 2pm via Microsoft Teams.		

Risk Appetite Statement

This statement specifies the Risk Appetite or willingness of the Board of Management to accept or tolerate different levels of Risk in relation to specific aspects of the College's activities. The Board is responsible for the overall management of risk and opportunity. It must set the risk appetite and ensure there is an appropriate balance between risk and opportunity and that this is communicated to the management team.

The Board of Management are Risk Averse in respect of all matters which involve the stewardship of College funds, compliance with legislation, Governance of the College and the reputation of the institution. The College is a dynamic and innovative educational institution which is willing to accept a level of risk as it seeks to identify new ways of working which will improve the quality and range of services it offers to the communities which it serves.

The College Strategic Management Team are required to manage the College in a way which is consistent with the Risk Appetite set by the Board of Management.

The Risk Appetite Statement is integrated with the Risk Register and will be taken account of on all occasions the Risk Register is considered by the Board of Management, its Audit and Risk Committee and its other Standing Committees. At each review of the Risk Register the level of mitigation must be considered against the assessed level of Risk attached to any item on the Risk Register and the Risk Appetite applicable to it.

	Risk Appetite				
Risk Category	**Averse**	**Minimalist**	**Cautious**	**Open**	**Hungry**
1. External Policy Context					
2. Reputation					
3.Financial Management & Audit					
4.Information & Communication Technology - Corporate					
5- Information & Communication Technology – Learning Experience					
6. Human Resources Management					
7. Property & Infrastructure					
8. Learning Experience					
9. Governance & Corporate Management					
10. Statute & Regulation					
11. Developmental Risk					

	Risk	Risk Category	Nov-20 Risk Total	Nov-20 Risk Rating	Correct Nov 20 Risk Total	Correct Nov 20 Risk Rating	Diff
1	Unfavourable change in the allocation of resources/student activity by the SFC/GCRB to the College results in the College having to reduce costs further and operate with less income. This would result in a poorer quality of provision. (Review ongoing - SFC - Coherence and Sustainability - A Review of Scotland's Colleges and Universities.)	External Policy Context	20	Critical	16	Critical	-4
2	Poor public relations image and perception of College due to negative media coverage having an adverse impact on the ability of the College to recruit appropriate learners, work with partners and employers and secure grant income.	External Policy Context	16	Critical	12	Undesirable	-4
3	External agencies fail to meet requirements of the College resulting in reputation damage or inability of the College to provide high standards of education, certificate courses or provide appropriate work experience or support for learners.	External Policy Context	9	Undesirable	6	Acceptable	-3
4	Relationships with external partners deteriorates resulting in partners not wishing to provide services, work placements and funding to the College.	External Policy Context	12	Undesirable	9	Undesirable	-3
5	Unfavourable change in the overall quantum of sector funding in real terms resulting in the College having to reduce costs and operate with lower levels of income and being unable to maintain its estate and the quality of its facilities.	External Policy Context	20	Critical	16	Critical	-4
6	Unfavourable change in the cost of pensions, salaries and NI costs for staff or staff terms and conditions resulting in the College having to reduce staffing numbers further and operate more efficiently to compensate.	External Policy Context	15	Critical	12	Undesirable	-3
1	Loss due to failure to detect or prevent fraud resulting in reputational damage, additional management and audit time, financial loss and increased insurance premiums.	Financial Management and Audit	12	Undesirable	12	Undesirable	0
2	Failure to have available cash to make payments as they fall due in the short and long term, including ability to pay staff wages. This would result in significant reputational damage and would undermine industrial relations.	Financial Management and Audit	20	Critical	12	Undesirable	-8
3	Failure to maintain Financial Sustainability resulting in the College having to progress into a recovery plan resulting in reputational damage and increased monitoring by GCRB and the SFC. It is also likely to result in severe reductions in spend and loss of other income sources; also reputation decline.	Financial Management and Audit	20	Critical	16	Critical	-4
4	Failure to have appropriate management information to substantiate student activity and related matters resulting in a clawback of income and potential loss of future activity and income.	Financial Management and Audit	6	Acceptable	6	Acceptable	0
5	College fails to secure budgeted income resulting in deficits and associated cash-flow and financial sustainability issues.	Financial Management and Audit	20	Critical	12	Undesirable	-8
6	SFC Clawback funding provided in prior years or make an in-year adverse adjustment to grant funding. This would result in increased risks associated with cash flow and financial sustainability.	Financial Management and Audit	12	Undesirable	12	Undesirable	0
1	Access Control Inappropriate access is made to ICT systems or inappropriate use by authorised users resulting in disruption to learning and teaching, ability of the College to operate, disruption to governance processes and systems dependent upon the network and potential loss of personal data held. i.e. The organisational structures, policies and processes necessary to understand, assess and systematically manage security risks to the organisations' network and information systems and essential services.	Information and Communications Technology (ICT)	16	Critical	16	Critical	0

2	Service Resilience The inability of the College to protect against cyber-attacks, prevent them from occurring or not having secure software and practises in place to combat cyber incidents. Protect against cyber-attacks - College ICT Systems suffer total or partial failure. This may be due to external factors out with the control of the College such as a cyber-attack. i.e. Covers the requirement for proportionate security measures to be in place to protect the organisation (and the essential services and systems) from cyber-attack. CRF Risk 7 Service Resilience • Disaster recovery & Business Continuity plans in place, • Security training for technical staff. • Vulnerability Management process in place. • Internet filters, firewall, multi factor authentication and heuristic/behavioural anti-virus • Cyber Essential Plus accreditation. • Use of collaboration/networks and partnerships to share information and best practice such as CISO Share membership, Scot Gov's CRU, JISC and CiSSP. Service Resilience The inability of the College to protect against cyber-attacks, prevent them from occurring or not having secure software and practises in place to combat cyber incidents. Protect against cyber-attacks - College ICT Systems suffer total or partial failure. This may be due to external factors out with the control of the College such as a cyber-attack. i.e. Covers the requirement for proportionate security measures to be in place to	Information and Communications Technology (ICT)	12	**Undesirable**	12	**Undesirable**	**0**
3	Respond and Recover Contingency Plans are ineffective resulting in the College being unable to restore its systems in a timeous manner following a disruptive event such as system failure or serious cyber incident. i.e. Covers measures to minimise the impact of a cyber security incident on the organisations (and the essential services and systems), including the restoration of services where necessary.	Information and Communications Technology (ICT)	12	**Undesirable**	12	**Undesirable**	**0**
4	Training and cyber awareness of users Lack of security awareness of staff and students increases the likelihood of an attack or data leak/breach via phishing, running unwanted software scams or processing errors. Thus, resulting in loss of service, fines, or reputational damage. The increasing trends of sophisticated ransomware attacks can cause severe operational issues – normally introduced via user error.		16	**Critical**	16	**Critical**	**0**
1	Loss of key staff resulting in increased risk across the operational activities of the College.	Human Resource Management	20	**Critical**	15	**Critical**	**-5**
2	High absence rates (particularly in relation to the Coronavirus and all related knock-on effects of this ie poor mental health, childcare issues etc) makes it impossible to provide appropriate quality/level of planned services. This could result in learners leaving or being unable to complete their courses, failing or being unable to sit exams, worsening KPIs, severe financial disruption as well as increased costs, reputational damage, increased difficulty in maintaining smooth onward flow for students, recruiting future learners and covering all subject areas. In relation to Coronavirus concerns, the College may be forced to close by the Scottish Government.	Human Resource Management	25	**Critical**	20	**Critical**	**-5**
3	The College may face litigation due to breaches of employment law and other legislation resulting in financial loss, reputational damage, increased insurance premiums and increased difficulty in recruiting staff.	Human Resource Management	16	**Critical**	12	**Undesirable**	**-4**
4	Failure to develop and maintain good industrial relations resulting in industrial action, deterioration in quality of provision and academic PI's. Potential impact on reputation. Changes to National Bargaining Framework	Human Resource Management	16	**Critical**	12	**Undesirable**	**-4**
5	Failure to efficiently utilise teaching staff resulting in the College operating outwith its budget with associated financial sustainability and cash flow risks resulting in negative attention by GCRB/SFC and auditors and a possible Section 22 report.	Human Resource Management	12	**Undesirable**	8	**Undesirable**	**-4**
1	Failure to maintain and develop buildings to a sufficiently high standard for delivery of high quality learning and teaching. This would result in poorer quality learning environments and a decline in learner experience and outcomes. Reduction in regional capital and maintenance allocation.	Property and Infrastructure	16	**Critical**	12	**Undesirable**	**-4**
2	The activities of the College are viewed as damaging to the environment and the College suffers reputational damage as a result of not being seen to address the climate emergency appropriately and the environment it operates in is not maintained to a high standard.	Property and Infrastructure	6	**Acceptable**	9	**Undesirable**	**3**

1	Failure to recruit learners, ensure curriculum offer meets current and future needs of industry, learners and employers and achieve student activity target with associated reputational and financial consequences.	Learning and Teaching	12	**Undesirable**	9	**Undesirable**	**-3**
2	Learners are not appropriately supported during their enrolment or their course of study, the College fails to retain sufficient numbers or they fail to make sufficient progress. Increased levels of poor mental health during pandemic as advised by Scottish Government. Risk may result in claims for failure to educate/support. Again resulting in reputational damage and perception of the College as a desirable place to study.	Learning and Teaching	16	**Critical**	12	**Undesirable**	**-4**
1	The Board or senior management makes or have made ultra vires decisions resulting in reputational damage with GCRB, SFC and Scottish Government. Potential for Audit Scotland involvement and S22 Audit Reports and potential litigation.	Governance & Corporate Management	8	**Undesirable**	8	**Undesirable**	**0**
2	Non-compliance with Ethical Standards with consequences as above	Governance & Corporate Management	6	**Acceptable**	6	**Acceptable**	**0**
3	The College faces liabilities as a consequence of an indemnity, contract or claim it, or one of the legacy colleges, has granted resulting in reputational risk or financial loss.	Governance & Corporate Management	6	**Acceptable**	6	**Acceptable**	**0**
4	The College is unable to recruit and / or retain Board Members with appropriate skills and experience to effectively oversee the management of the College with severe consequences for the quality of governance resulting in increased risks as above.	Governance & Corporate Management	6	**Acceptable**	6	**Acceptable**	**0**
5	The College is unable to deliver some or all of its services or meet its statutory obligations as a consequence of an unforeseen event such as: an act of terrorism, a public health event, extreme weather, civil unrest, disruption to transport and public infrastructure systems, flood or fire. This could result in a wide range of short and long term financial and reputational consequences. The College could find it difficult to recruit appropriate staff to specialised teaching and management roles.	Governance & Corporate Management	25	**Critical**	20	**Critical**	**-5**
1	Serious breach of legislation Including: -Health & Safety -Charities -GDPR and Data Security -Intellectual Property and Copyright -Environmental Health -Public Procurement Regulations and legislation Equality Legislation This would have financial consequences (fines) and result in severe reputational damage.	Statute and Regulations	12	**Undesirable**	6	**Acceptable**	**-6**
2	Children, young people and vulnerable adults may be subject to abusive behaviour resulting in litigation claims for damages and reputational damage.	Statute and Regulations	12	**Undesirable**	12	**Undesirable**	**0**

5	**Acceptable**	6	**Acceptable**	**20 scores were incorrect.**
11	**Undesirable**	18	**Undesirable**	
16	**Critical**	8	**Critical**	
32		32		

Item	Risk	Risk control measure or action taken to mitigate	By Whom	Risk Owner	Likelihood	Likelihood Value	Consequence	Impact Value	Risk Total	Trend	Risk Rating
External Policy Context - Derek Smeall - Principal											
1	Unfavourable change in the allocation of resources/student activity by the SFC/GCRB to the College results in the College having to reduce costs further and operate with less income. This would result in a poorer quality of provision. (Review ongoing - SFC - Coherence and Sustainability - A Review of Scotland's Colleges and Universities.)	• Strategic positioning within regional and national context. • Strategic planning & FFR consistent with national policy priorities. • Contribute effectively to ROA and GCRB. • Liaise with local and national politicians. • Maintain flexibility to modify provision, anticipate and adapt to changes in environmental context. • Development and implementation of Business Transformation Plan. • College response to - SFC - Coherence and Sustainability - A Review of Scotland's Colleges and Universities.	SMT	Principal / Board of Management This risk is considered to be partly outwith the control of the College	Possible	3	Major	4	12	↓	**Undesirable**
2	Poor public relations image and perception of College due to negative media coverage having an adverse impact on the ability of the College to recruit appropriate learners, work with partners and employers and secure grant income.	• Maintain good relations with the media. • Seek to secure good coverage of positive news stories about College activities and prizes won. • Carefully respond to FOI requests and other enquiries.	SMT Director of Business Development/ Comms & Marketing Manager	SMT	Possible	3	Major	4	12	↔	**Undesirable**
3	External agencies fail to meet requirements of the College resulting in reputation damage or inability of the College to provide high standards of education, certificate courses or provide appropriate work experience or support for learners.	• Maintain quality standards required by all awarding bodies and maintain accreditations. • Explore the adoption of alternative forms of certification. • Adequate controls related to the quality of student activity, retention and achievement data.	SMT Directors of Curriculum	Board of Management	Unlikely	2	Moderate	3	6	↔	**Acceptable**
4	Relationships with external partners deteriorates resulting in partners not wishing to provide services, work placements and funding to the College.	• Maintain regular working contact and consult regularly with partner organisations. • Regular analysis of partners organisation's needs. • Seek representation on college and partner organisation's Boards. • Compliance with terms and conditions of SLAs and conditions of funding. • Development and implementation of a Stakeholder Engagement Strategy.	Principal / SMT	Board of Management	Possible	3	Moderate	3	9	↔	**Undesirable**
5	Unfavourable change in the overall quantum of sector funding in real terms resulting in the College having to reduce costs and operate with lower levels of income and being unable to maintain its estate and the quality of its facilities.	• Create strategic plans which align with available resource. • Implement Business Transformation Plan. • Undertake scenario planning and review Scottish Budget. • Identification and development of new sources of income. • Identify options for cost savings and efficiency gains. • Put in place mitigation strategy in respect of implications of Brexit. • Carry out a full quarterly financial reforecast.	Principal / SMT	Board of Management This risk is considered to be beyond the control of the College	Likely	4	Major	4	16	↔	**Critical**

Item	Risk	Risk control measure or action taken to mitigate	By Whom	Risk Owner	Likelihood	Likelihood Value	Consequence	Impact Value	Risk Total	Trend	Risk Rating
6	Unfavourable change in the cost of pensions, salaries and NI costs for staff or staff terms and conditions resulting in the College having to reduce staffing numbers further and operate more efficiently to compensate.	• Monitor pension fund annual reports and advance plans. • Appropriate budget planning and review of UK / Scottish Tax & Fiscal Plans. • Monitor progress with national pay agreements and funding for proposed increase in pension contributions. ~~• VS Scheme approved by GCRB/SFC - rolled out periodically.~~ • Applications to be considered on a business-needs basis. • Redeployment, training and development processes. • Succession planning. • Workforce planning. • Work placements and apprenticeships mentoring and career review. • Promotion of part-time working, flexible working. • Reductions in spend on non-staff related costs. • Natural turnover and non replacement of non essential posts. • Review of efficiency utilisation of temporary teaching hours. • Implement VS Scheme as part of Transformation & Renewal Plan.	VP Operations & SMT	Board of Management This risk is considered to be beyond the control of the College	Likely	4	Moderate	3	12	↔	**Undesirable**
Financial Management and Audit - Jeanette Evans, Vice Principal Operations											
1	Loss due to failure to detect or prevent fraud resulting in reputational damage, additional management and audit time, financial loss and increased insurance premiums.	• Internal audit plan. • Maintain financial regulations and authorisation systems. • Training, development and alerts for all budget holders. • Insurance cover. • Review NFI and Audit Scotland reports. • Collaboration/partnership/networking activities undertaken for added external scanning opportunities.	SMT	Audit and Risk Committee	Possible	3	Major	4	12	↔	**Undesirable**
2	Failure to have available cash to make payments as they fall due in the short and long term, including ability to pay staff wages. This would result in significant reputational damage and would undermine industrial relations.	• Effective cash management. • Operational payroll procedures and timetable. • Debt control and management. • Generate savings & review expenditure. • Effective forward planning and forecasting. • Draw down from Arms Length Foundation. • Give notice to bank on funds in any notice accounts. • Furloughing of staff. • Seek guidance from GCRB/SFC. • Regular meetings/updates in relation to key areas of risk.	~~VP Operations~~ Head of Finance ~~OMT~~	~~SMT~~ VP Operations	Possible	3	Major	4	12	↔	**Undesirable**
3	Failure to maintain Financial Sustainability resulting in the College having to progress into a recovery plan resulting in reputational damage and increased monitoring by GCRB and the SFC. It is also likely to result in severe reductions in spend and loss of other income sources; also reputation decline.	• Monthly management accounts. • Robust budgetary planning, forecasting and management accounting. • Regular management reports on the utilisation of staff and staff absence. • Implementation of Financial Strategy, Procurement Strategy & Value for Money Strategy. • Scenario planning, FFR and Implementation of ~~Business~~ Transformation & Renewal Plan. • Refresh Estates and Sustainability Strategy. • Liaise with GCRB in respect of the funding model and activity price bands. • Model national pay negotiations. • Monitor spend on student support funds and apply for in –year distribution as appropriate.	VP Operations SMT Head of Finance Director of Human Resources OMT	Board of Management	Possible	3	Major	4	12	↓	**Undesirable**
4	Failure to have appropriate management information to substantiate student activity and related matters resulting in a clawback of income and potential loss of future activity and income.	• Regular management reporting of student activity. • Internal Audit review. • Year-end Audit of Student Activity reported to the Board.	VP Curriculum	Learning & Teaching Committee	Unlikely	2	Moderate	3	6	↔	**Acceptable**

Item	Risk	Risk control measure or action taken to mitigate	By Whom	Risk Owner	Likelihood	Likelihood Value	Consequence	Impact Value	Risk Total	Trend	Risk Rating
5	College fails to secure budgeted income resulting in deficits and associated cash-flow and financial sustainability issues.	• Identification of new sources of funding, however, the current economic context makes this difficult. • Development and re-enforcement of positive reputation with key partners. • Carefully manage strategic partnerships. • Ensure compliance with contractual provisions. • Submission of effective tender documents. • Maintain appropriate quality certifications. • Prioritisation of Flexible Workforce Development Fund project. • Foundation Apprenticeship - Funding Model/Break-Even Analysis to be undertaken and a discussion with SDS held in relation to financial/reputational risks of the College being the managing agent in the Glasgow Region.	VP Operations Director of Business Development	Finance & Resources Committee	Possible	3	Moderate	3	9	↓	**Undesirable**
6	SFC Clawback funding provided in prior years or make an in-year adverse adjustment to grant funding. This would result in increased risks associated with cash flow and financial sustainability.	• Seek to ensure compliance with conditions of grant. • Liaise with GCRB and SFC. • Attend ESF and sector related funding groups. • Consider this risk prior to acceptance of grant.	VP Operations Director of Business Development	Financial Control Committee	Possible	3	Moderate	3	9	↓	**Undesirable**
7	**NEW RISK** The college does not receive any ESF (DSW) payment or partial payment. This would be due to managing agent not adapting evidence requirements in light of COVID and continuing to require physical evidence and original signatures whilst students are not in college. In total, £548,452 is potentially at risk	• Issue has been escalated to national level by Glasgow Kelvin College. • National meeting convened on 23 Feb consisting of business development directors and finance directors to discuss issue. • Action plan being prepared by sector for presentation at national level to managing agent. • GCRB informed.	Director of Business Development	SMT	Likely	4	Major	4	16		**Critical**
Information and Communications Technology (ICT) - Andy Laszlo, Director of Digital Services/Robin Ashton, Vice Principal Curriculum											

Item	Risk	Risk control measure or action taken to mitigate	By Whom	Risk Owner	Likelihood	Likelihood Value	Consequence	Impact Value	Risk Total	Trend	Risk Rating
1	Access Control Inappropriate access is made to ICT systems or inappropriate use by authorised users resulting in disruption to learning and teaching, ability of the College to operate, disruption to governance processes and systems dependent upon the network and potential loss of personal data held. i.e. The organisational structures, policies and processes necessary to understand, assess and systematically manage security risks to the organisations' network and information systems and essential services.	• Acceptable Use Policy in place. • Effective password policy. • HR process for joiners and leavers. • Tight student account creation system in place. • Multi Factor Authentication for social media accounts. • Multi Factor Authentication for key and senior staff. • Special privileges, procedures and reviews for admin users.	VP Curriculum Director of Digital Services	Learning & Teaching Committee Audit & Risk Committee	Possible	3	Major	4	12	↓	**Undesirable**
2	Service Resilience The inability of the College to protect against cyber-attacks, prevent them from occurring or not having secure software and practises in place to combat cyber incidents. Protect against cyber-attacks - College ICT Systems suffer total or partial failure. This may be due to external factors out with the control of the College such as a cyber-attack. i.e. Covers the requirement for proportionate security measures to be in place to protect the organisation (and the essential services and systems) from cyber-attack. CRF Risk 7 Service Resilience • Disaster recovery & Business Continuity plans in place, • Security training for technical staff. • Vulnerability Management process in place. • Internet filters, firewall, multi factor authentication and heuristic/behavioural anti-virus • Cyber Essential Plus accreditation. • Use of collaboration/networks and partnerships to share information and best practice such as CISO Share membership, Scot Gov's CRU, JISC and CiSSP.	• Disaster Recovery and Business Continuity plans in place. • Security training for technical staff. • Vulnerability Management process in place. • Internet filters, firewall, multi factor authentication and heuristic/behavioural anti-virus. • Cyber Essential Plus accreditation. • Use of collaboration/networks and partnerships to share information and best practice such as CISO Share membership, Scot Gov's CRU, JISC and CiSSP. • Participation by 6 staff (inlcuding 3 SMT) in a recent Exercise in a Box Cyber attack exercise run by the Scottish Business Resilience Centre - to be rolled out to more staff. • Cyber Secrurity Training Module to be completed by all staff on an annual basis.	VP Curriculum Director of Digital Services	Learning & Teaching Committee Audit & Risk Committee	Possible	3	Major	4	12	↔	**Undesirable**

Item	Risk	Risk control measure or action taken to mitigate	By Whom	Risk Owner	Likelihood	Likelihood Value	Consequence	Impact Value	Risk Total	Trend	Risk Rating
3	Respond and Recover Contingency Plans are ineffective resulting in the College being unable to restore its systems in a timeous manner following a disruptive event such as system failure or serious cyber incident. i.e. Covers measures to minimise the impact of a cyber security incident on the organisations (and the essential services and systems), including the restoration of services where necessary.	• Data Recovery Capability - Disaster recovery & Business Continuity plans in place, • Service contracts in place for key services such as UPS, • Identify key services and their recovery times metrics – impact of loss of availability is known • Business Continuity Team in place within College • ICT CSIRT team in place and run through tabletop exercise scenarios periodically • CSIRT Incident & Response plans • Cyber insurance purchased.	VP Curriculum Director of Digital Services	Learning & Teaching Committee Audit & Risk Committee	Possible	3	Major	4	12	↔	**Undesirable**
4	Training and cyber awareness of users Lack of security awareness of staff and students increases the likelihood of an attack or data leak/breach via phishing, running unwanted software scams or processing errors. Thus, resulting in loss of service, fines, or reputational damage. The increasing trends of sophisticated ransomware attacks can cause severe operational issues – normally introduced via user error.	• Cyber Resilience Committee meet regularly and plan cyber campaigns. • Mandatory cyber awareness training planned for all staff. • Regular articles published to staff newsletter. • GDPR training available for staff. • Acceptable Use Policy is accepted prior to logon. • Security section and guides provided to students via MyKelvin. • Staff induction in place for new staff members. • Introduction of mandatory annual cyber security training.	VP Curriculum Director of Digital Services	Learning & Teaching Committee Audit & Risk Committee	Possible	3	Major	4	12	↓	**Undesirable**
Human Resource Management - Doreen Shiels, Director of HR/Jeanette Evans, Vice Principal Operations											
1	Loss of key staff resulting in increased risk across the operational activities of the College.	• Review and evaluate posts as appropriate. • Put in place appropriate career structures. • Recruitment, training and development processes. • Periodic review of remuneration. • Succession planning, workforce planning, work placements and apprenticeships mentoring and career review. • Use of temporary contracts. • Interim reporting measures put in place when key staff leave or off on long-term absence to provide continuity of service. • Key senior post filled. • Detailed review of all VS applications before approval to evaluate impact on ongoing operations.	VP Operations Director of Human Resources	Finance and Resoources Committee	Possible	3	Moderate	3	9	↓	**Undesirable**

Item	Risk	Risk control measure or action taken to mitigate	By Whom	Risk Owner	Likelihood	Likelihood Value	Consequence	Impact Value	Risk Total	Trend	Risk Rating
2	High absence rates (particularly in relation to the Coronavirus and all related knock-on effects of this ie poor mental health, childcare issues etc) makes it impossible to provide appropriate quality/level of planned services. This could result in learners leaving or being unable to complete their courses, failing or being unable to sit exams, worsening KPIs, severe financial disruption as well as increased costs, reputational damage, increased difficulty in maintaining smooth onward flow for students, recruiting future learners and covering all subject areas. In relation to Coronavirus concerns, the College may be forced to close by the Scottish Government.	• Maintain effective Attendance at Work Policies and procedures and apply these. • On-going training of line managers in proactive absence monitoring and management. • Effective Occupational Health Service. • Implementation of health and wellbeing policy. • A number of initiatives in place to support staff mental health and well-being, particularly during COVID-19 times of home working. • Healthy Working Lives, Big White Wall and other Health & Wellbeing initiatives. • Detailed planning to cover pandemics/Coronavirus via the Business Continuity Plan. • Incident Management Team/SMT conducting regular meetings in relation to COVID-19. • Health and Safety Manager providing regular updates to staff and SMT members on Coronavirus. • Planning in place to ensure staff can work effectively from home (as far as possible) i.e. via OneDrive, VPN connections/Microsoft Teams etc. • Lecturing staff planning lessons well in advance in order that students can progress with studies. • Digitalisation of some areas of the curriculum as far as possible. • Regular communication with staff and students via a variety of methods to maintain contact. • Planning in place in relation to re-opening the College campus buildings and to maintain physical distancing and other Government guidelines. • Absence metrics better than pre COVID-19 figures. • Increased emphasis on health and wellbeing with organised activities for staff for one hour four days a week to increase contact/relaxation. • Mindfulness and exercise classes operating at lunchtimes once a week for staff.	VP Operations Director of Digital Services Director of Human Resources VP Curriculum	Finance and Resources Committee	Possible	3	Major	4	12	↓	**Undesirable**
3	The College may face litigation due to breaches of employment law and other legislation resulting in financial loss, reputational damage, increased insurance premiums and increased difficulty in recruiting staff.	• Robust policies and procedures. • Regular legal advice to managers and Board. • Equality Policies and annual report. • Insurance cover. • Training of staff in key positions. • Regular review of human resource policies. • Equality and Diversity Committee. • Equality Impact Assessments.	All Staff SMT VP Operations	Finance and Resources Committee	Possible	3	Major	4	12	↔	**Undesirable**
4	Failure to develop and maintain good industrial relations resulting in industrial action, deterioration in quality of provision and academic PI's. Potential impact on reputation. Changes to National Bargaining Framework	• Recognition and Procedures Agreements (RPAs). • Joint Consultative Committee. • Internal Communications Strategy. • Equality & Diversity Committee. • Health & Safety Committee. • Informal consultation. • Regular review and consultation on policies and procedures. • Management and staff development. • Organisational Development - Training/Events. • Continue to work with union colleagues and communicate with staff and students effectively. • Monitor progress in respect of National Bargaining & public pay policy.	Principal SMT (this risk is considered to be partially outwith the control of the College)	Finance and Resources Committee	Possible	3	Major	4	12	↔	**Undesirable**

Item	Risk	Risk control measure or action taken to mitigate	By Whom	Risk Owner	Likelihood	Likelihood Value	Consequence	Impact Value	Risk Total	Trend	Risk Rating
5	Failure to efficiently utilise teaching staff resulting in the College operating outwith its budget with associated financial sustainability and cash flow risks resulting in negative attention by GCRB/SFC and auditors and a possible Section 22 report.	• Curriculum Management monitoring staff timetables. • Directors of Curriculum undertaking regular timetable audits. • Monthly reports of staff hours and contact time. • Monitor performance indicators. • Budget and student activity monitoring and reporting. • Absence reports being generated by HR and considered by SMT regularly. • Implementation of Value for Money Strategy & Business Transformation Plan.	VP Curriculum Directors of Curriculum	SMT and Board of Management	Unlikely	2	Major	4	8	↔	**Undesirable**
Property and Infrastructure - Lisa Clark, Director of Corporate Services/Jeanette Evans, Vice Principal Operations											
1	Failure to maintain and develop buildings to a sufficiently high standard for delivery of high quality learning and teaching. This would result in poorer quality learning environments and a decline in learner experience and outcomes. Reduction in regional capital and maintenance allocation.	• Implementation/development of Estates Strategy and associated maintenance and capital investment plan. • Review budget and liaise with GCRB to ensure needs of college are understood at regional level. • Adequate planned maintenance schedule and budgetary provision. • Review and renegotiate servicing contracts.	VP Operations Director of Corporate Services SMT	Finance and Resources Committee	Possible	3	Major	4	12	↔	**Undesirable**
2	The activities of the College are viewed as damaging to the environment and the College suffers reputational damage as a result of not being seen to address the climate emergency appropriately and the environment it operates in is not maintained to a high standard.	• Implement and update the Climate Change Action Plan. • Communicate the progress made in achieving carbon reduction. • Operate Estates and Sustainable Development Working Group. • Funding for two new electric vehicles has been secured - both have arrived - the fleet now has four electric vehicles. • Continue to develop and promote active travel and the cycle hub. • Continue to have success in achieving awards and seek to apply for a second Green Gown Award. • East End Garden Project completed and engagement with the local community in environmental projects can commence. ~~• GCRB have approved the appointment of a Regional Environmental Manager - recruitment to take place later in the year (on hold due to COVID-19).~~ • New BMS system tracks and monitors energy use and provides key reports. • Automatic Water Meters installed to prevent wasted water. • Waste compactor purchased to reduce number of skips used per year and mass of material going into landfill. • Regional Environmental Manager has been recruited - due to start 1 April 2021.	VP Operations Director of Corporate Services	Estates and Sustainable Development Committee / Board of Management	Possible	3	Moderate	3	9	↔	**Undesirable**
Learning and Teaching - Robin Ashton, Vice Principal Curriculum											
1	Failure to recruit learners, ensure curriculum offer meets current and future needs of industry, learners and employers and achieve student activity target with associated reputational and financial consequences.	• Create and implement a Marketing Strategy. • Continuously monitor enrolment and attendance data. • Robust MIS system and procedures. • Annual consideration of SFC Guidance. • Ensure curriculum remains up to date, environmental scanning to anticipate changes in demand, new technologies and new approaches to learning and teaching.	SMT	SMT Board of Management	Possible	3	Moderate	3	9	↔	**Undesirable**

Item	Risk	Risk control measure or action taken to mitigate	By Whom	Risk Owner	Likelihood	Likelihood Value	Consequence	Impact Value	Risk Total	Trend	Risk Rating
2	Learners are not appropriately supported during their enrolment or their course of study, the College fails to retain sufficient numbers or they fail to make sufficient progress. Increased levels of poor mental health during pandemic as advised by Scottish Government. Risk may result in claims for failure to educate/support. Again resulting in reputational damage and perception of the College as a desirable place to study.	• Improve the quality of teaching by means of the quality improvement agenda and self-evaluation processes. • Enhanced student induction sessions. • Focus on learner retention and achievement improvement strategies by curriculum teams. • Promote customer care and inclusiveness. • Provision of impartial guidance and advice including effective pre-enrolment and progression guidance. • Individual Learning Plans and learning support to meet individual student needs. • Mental health counsellors and promotion of support services for mental health ongoing. • Analysis & benchmarking of performance indicators. • Participation in scheme to provide free sanitary products for learners. • Maintain quality kitemarks (SQA, City and Guilds and others). • HMIE review and annual engagement exercise. • Commendation and Complaints procedure and review. • Effective learner feedback processes and student association involvement in College committees. • Digital Strategy roll out including My Kelvin to provide added benefit to students. • MIS/Enrolment procedure/in service day for local authorities/schools - SDS FA Team have offered assistance in the planning of revised delivery of all course material. • FA Team have attended CLP event for all subjects.	Directors of Curriculum / SCM / CM / class tutor VP Curriculum SMT	Board of Management	Possible	3	Major	4	12	↔	**Undesirable**
Governance & Corporate Management - Lisa Clark, Director o Corporate Services/Jeanette Evans, Vice Principal Operations											
1	The Board or senior management makes or have made ultra vires decisions resulting in reputational damage with GCRB, SFC and Scottish Government. Potential for Audit Scotland involvement and S22 Audit Reports and potential litigation.	• Access to appropriate professional advice and other sources of information. • Appointment of independent External and Internal Auditors. • Appointment of Clerk to Board who reports directly to the Chair. • Regular review of Statute and SFC regulations and guidance. • Systematic review of Audit Scotland Technical Bulletins. • Directors' and Officers' indemnity insurance cover. • Board's induction and training/development programme. • Colleges Scotland events. • Use of corporate governance evaluation frameworks. • Positive Internal audit review of Governance including the ~~impending~~ Externally Facilitated Effectiveness Review. • CPD for senior staff and Clerk. • Regular review of Governing documents.	Principal/Chair of Board Clerk to the Board of Management VP Operations Director of Corporate Services	Board of Management	Unlikely	2	Major	4	8	↔	**Undesirable**
2	Non-compliance with Ethical Standards with consequences as above	• Code of Conduct. • Register of Interest. • Standing Orders. • Public Interest Disclosure Policy. • Scheme of Delegation. • Internal/External Auditor. • Board Development / Induction Programme. • Compliance with the Code of Good Governance. • Externally Facilitated Effectiveness Reviews at least every three years. • Annual self-evaluation activity for the Board and all Standing Committees.	Clerk to the Board Director of Corporate Services	Board of Management	Unlikely	2	Moderate	3	6	↔	**Acceptable**

Item	Risk	Risk control measure or action taken to mitigate	By Whom	Risk Owner	Likelihood	Likelihood Value	Consequence	Impact Value	Risk Total	Trend	Risk Rating
3	The College faces liabilities as a consequence of an indemnity, contract or claim it, or one of the legacy colleges, has granted resulting in reputational risk or financial loss.	• Negotiation of indemnification out of contracts if possible. • Officer and Members' indemnity insurance and run off cover. • Indemnification kept within the limits established by the SFC Financial Memorandum with the College. • Conduct review of contracts. • Seek to settle outstanding claims timeously. • Procurement Capability Rating given due attention and care.	SMT	Board of Management	Unlikely	2	Moderate	3	6	↔	**Acceptable**
4	The College is unable to recruit and / or retain Board Members with appropriate skills and experience to effectively oversee the management of the College with severe consequences for the quality of governance resulting in increased risks as above.	• Board Recruitment process compliance. • Engage with other College Boards and GCRB. • Skills matrix analysis. • Effective Board Development Programme. • Staggered appointment periods to allow continuity. • 50/50 Pledge adhered to as far as possible. • Ensure advertising of vacancies is as wide as possible and targets areas required for skills/diversity.	Board of Management & Clerk to the Board of Management	Board of Management	Unlikely	2	Moderate	3	6	↔	**Acceptable**
5	The College is unable to deliver some or all of its services or meet its statutory obligations as a consequence of an unforeseen event such as: an act of terrorism, a public health event, extreme weather, civil unrest, disruption to transport and public infrastructure systems, flood or fire. This could result in a wide range of short and long term financial and reputational consequences. The College could find it difficult to recruit appropriate staff to specialised teaching and management roles.	• Effective business continuity planning, testing and training. • Insurance cover. • Effective partnership with Glasgow Colleges, Glasgow City Council and GCRB increased use of on-line methods of communication throughout teaching and corporate services. • Insurance to cover additional costs of operations and terrorism cover. • Promotion of educational videos across the College (including staff and students). • Engagement with COP 26 security planning - on hold due to pandemic. •Incident Management Team/SMT have robust processes and setp by step plans in place in the event of closure of a building(s) due to a pandemic ie national lockdown; this includes student lesson plans being in place covering a number of weeks. • ~~Interim Assistant Principal~~ Director of Corporate Services attends Scottish Government Workshops in relation to pandemic planning to ensure the College keeps abreast of all emerging factors. All guidance/requirements from Scottish Government in relation to COVID-19 adhered to.	Board of Management SMT OMT Members of the Incident Management Team	Board of Management	Possible	3	Major	4	12	↓	**Undesirable**
Statute and Regulations - Derek Smeall, Principal											

Item	Risk	Risk control measure or action taken to mitigate	By Whom	Risk Owner	Likelihood	Likelihood Value	Consequence	Impact Value	Risk Total	Trend	Risk Rating
1	Serious breach of legislation Including: -Health & Safety -Charities -GDPR and Data Security -Intellectual Property and Copyright -Environmental Health -Public Procurement Regulations and legislation Equality Legislation This would have financial consequences (fines) and result in severe reputational damage.	• Liaise with legal and other professional advisers. • Insurance cover and advice from Insurance Brokers. • Operation of effective Risk Management Committee. • Staff development for all staff. • Professional CPD for Managers. • Risk management guidance and advice from Insurance Broker. • Board Development/Induction Programme. • Up to date Publication Scheme. • Health and Safety Policy and annual report. • Periodic audit of Health & Safety systems. • Operation of effective H&S Committee. • Operation of Estates and Sustainable Development Committee. • Copyright Policy and procedures. • Maintain and implement procurement strategy & Regional shared procurement service hosted by APUC. • Independent DPO, comprehensive data protection policy, procedures and training for staff, data audit plan, operation of the privacy network and ICT security arrangements. • Establishment of Cyber Resilience Workgroup covering both organisational and technical perspectives for completeness. • In relation to COVID-19 - IMT detailed planning in relation to College opening along with detailed Risk Assessments for every area of the College. EDI Manager involved in advising accordingly. • Government advice followed in relation to physical distancing and implementing enhanced hygiene routines. All staff members made aware of plans and available to view and comment. •Equality, Diversity and Inclusion Committee meet routinely. • In relation to COVID-19 - particular attention needs to be paid to lone parents, ethnic groups and other with protected characteristics who may not have Wi-Fi/digital equipment for study; College staff carrying out surveys and EDI Manager closely monitoring. • Staff/student well-being central to College operation and a number of initiatives underway to support people through current home-working/home study situation.	Principal Chair of Board of Management SMT	Board of Management	Unlikely	2	Moderate	3	6	↔	**Acceptable**
2	Children, young people and vulnerable adults may be subject to abusive behaviour resulting in litigation claims for damages and reputational damage.	• PVG and checks of Board Members and contractors where appropriate. • Compliance with vetting and barring scheme. • Safeguarding Policy and Procedures. • Compliance with Protection of Vulnerable Groups (Scotland) Act 2007 and Adult Support and Protection (Scotland) Act 2007. • Management of Criminal Records Information Policy and Procedure. • Staff training and guidance. • Procedures for referring allegations to appropriate Local Authority. • Safeguarding procedures in place and followed. • Corporate Parenting Plan produced and appropriate CPD for staff and Board Members. • Corporate Parenting Strategy. • PREVENT training.	All Staff	SMT and Board of Management	Possible	3	Major	4	12	↔	**Undesirable**

Glasgow Kelvin College

Strategic Risk Register Summary – March 2020

Appendix 5

1. Purpose

The purpose of this document is to highlight a small number of key strategic risks contained within the Risk Register. These are risks which either;

1. threaten the sustainability of Glasgow Kelvin College;
2. are considered to be a level which is inconsistent with the Risk Appetite statement; or
3. are those where there are current significant developments.

2. Summary of Key Risks

Risk Register Reference	Summary of Risk	Current Development	Current Mitigations	Rank
Financial Management / Sustainability	Failure to Maintain Financial Sustainability	Financial Planning/Business Transformation Plan still outline a requirement to make significant financial savings.	Engagement with GCRB, development and implementation of Business Transformation Plan including seeking ALF funding. This Risk has been considered to be a Strategic Risk >1 Year.	
HR	Loss of Key Staff	Staff leavers combined with the requirement to make significant savings creates a risk that reduced staffing will impact on the ability of the College to deliver a high quality learning experience with high quality governance and support services in place.	A number of staff who have left or opted for reduced hours are not being replaced. Teams now operating with reduced staffing and are planning workload(s) taking this into account. This Risk has been considered to be a Strategic Risk >1 Year.	
Finance/HR/Learning and Teaching	Impact of Coronavirus i.e. lost income due to reduced funding and curriculum delivery levels/increased staff absence/the need to provide digital resources for home working, study/internet access and/or remote learning/fewer opportunities for commercial activity. Social/physical distancing throughout the College likely to continue for some time in line with Government advice.	Very negative impact on income - flexible workforce funds/commercial courses/credit targets/ESF etc. High risk that curriculum activity levels are lessened with smaller classes, fewer apprentices, more limited opportunities to develop and deliver commercial activity, etc. This will have a direct impact on College income levels, whilst College costs will remain at previous levels without any direct action. The College may suffer the loss of credits and loss of 2020/21 Flexible Workforce Development Fund activity, expected reduction in Modern Apprenticeship and Foundation Apprenticeship activity funded by Skills Development Scotland, increased cost of COVID-19 cleaning/materials/social distancing requirements is substantial. Students may unable to complete courses of study or sit exams. Tier 4 restrictions (if implemented) may prove problematic for College attendance by both staff/students. If the College needs to ensure social distancing/home working then not all students can be taught remotely due to digital constraints and course content. The current COVID-19 situation is likely to be ongoing for several more months - well into 2021 until a vaccination is implemented. High rates of staff/student absence and illness is expected. Universities have suffered exponential losses due to lack of income and reduction in students due to foreign travel restrictions; likely to be ongoing for several years and could impact significantly on colleges if the university focus changes/curriculum diversifies to accommodate a changed world i.e. on-line courses offered at different levels. The College has moved towards a more blended delivery and provided digital equipment and internet access, however, many of the communities served are highly disadvantaged and face to face delivery and the provision og study spaces has proven to be the most effective form of engagement.	Finance/HR A negative financial situation may require further cost cutting i.e. ending temporary contracts, re-allocating staff between departments to provide essential cover and potential redundancies. Also the College has been asked to provide support for self-employed contractors in terms of sick pay during the current health crisis - further sector clariifcations sought. VS Scheme roll out, however, if limited interest, this may result in further potential redundancies. Ongoing staff absences due to long term effects of COVID and other emerging COVID related matters may mean that some services will be unable to run as they did previously - this is being factored into discussions/planning. Reduced Business Development and CLD funding is presenting a financial stability risk for the College. Many staff have been furloughed as unable to carry out work duties at home. Funding has been provided via the Government's Coronavirus Job Retention Scheme. ~~New scheme about to commence in November 2020~~. The College is incurring some costs for staff who cannot contribute and this may continue for some time. The College will need additional/drawdown funding from the SCIO and/or GCRB/SFC/Scottish Government due to negative financial impact of COVID-19 and will also require funding in relation to digital requirements for staff and learners. Notice may need to be given to bank on funds in notice accounts/guidance could be sought from GCRB/SFC. Curriculum Risk on credit delivery projections and increased risk to achievement of credit targets. CLD presenting a risk due to the reduction of funding and the reputational impact factor of not meeting credit targets. With the impact on the economy, there may be less jobs available as an alternative to college. Increased levels of poor mental health apparent. The communities being served by the College are highly likely to be more disadvantaged by the move to increased on-line learning. Drop out/engagement/fail rates will be higher. The College is implementing blended learning but does not suit all subject areas. On-going discussions are currently being held at all levels within the College in terms of this new curriculum reality. The College's SMT and Incident Management Team have followed the Scottish Government guidance and have implemented social/physical distancing measures and all other requirements including a vastly enhanced cleaning regime. Liaison with unions taking place in relation to the Business Transformational Plan. Added as a Strategic Risk - March 2020.	

ICT Security	ICT System failure / disruption	Intelligence is currently indicating increased incidences of sophisticated cyber attacks on the College sector and public authorities. Home working/increased phishing activity make a cyber attack more likely.	ICT security policy, CISO Share membership, cyber insurance purchased, staff awareness, staff communication and training via College newsletter and training areas, Digital Transformation Strategy implemented and further planned and required investment. Added as a Strategic Risk Feb 2020.	

Additional Emerging / Environmental Risks:

Brexit/Coronavirus and associated economic consequences for the College, staff learners and partners. There are also significant potential consequences for future public funding and levels of employment in the event of a global economic recession which may be a consequence of disruptions to trade and the economy.

SFC - Coherence and Sustainability - A Review of Scotland's Colleges and Universities. This review is ongoing and may mean a changing educational landscape is ahead. Glasgow, in particular a key focus of the review

GLASGOW KELVIN COLLEGE - CORPORATE RISK REGISTER

Board / Committee	
Prepared by	
Contact Name and Tel. No.:	

									INHERENT ASSESSMENT						RESIDUAL ASSESSMENT							
Risk Ref No	Date Identified	Risk Title	Risk Description	Risk Category	Risk Appetite	Strategic Priority	Risk Owner	Responsible Person	IL	II	IR	IR	Risk Treatment Approach	Control and Mitigating Actions	RL	RI	RR	RR	Date Reviewed	Movement in Period	Early Warning Mechanisms, Planned Next Steps & Future Action Required	Date of Next Review
1	7/12/20	Credit Delivery	**RISK:** **CAUSE:** **EFFECT:**	External Policy Context	Cautious	1	Principal/ Board	SMT	4	5	20	**Very High**	Treat	1. 2. 3.	4	4	16	**Very High**	23/03/2021	↑	**Early Warning Mechanism** 1. 2. 3. **Actions Planned** '1. 2. 3.	25/05/2021
2	7/12/20		**RISK:** **CAUSE:** **EFFECT:**		Averse	5			5	5	25	**Very High**	Tolerate	1. 2. 3.	4	2	8	**Medium**	23/03/2021	↓	**Early Warning Mechanism** 1. 2. 3. **Actions Planned** '1. 2. 3.	15/09/2020
3	7/12/20		**RISK:** **CAUSE:** **EFFECT:**		Minimalist	4			5	3	15	**Very High**	Treat	1. 2. 3.	4	2	8	**Medium**	23/03/2021	↔	**Early Warning Mechanism** 1. 2. 3. **Actions Planned** '1. 2. 3.	15/09/2020
4	7/12/20		**RISK:** **CAUSE:** **EFFECT:**		Open	2			5	4	20	**Very High**	Treat	1. 2. 3.	4	3	12	**High**	23/03/2021	↑	**Early Warning Mechanism** 1. 2. 3. **Actions Planned** '1. 2. 3.	15/09/2020
5	7/12/20		**RISK:** **CAUSE:** **EFFECT:**		Averse	5			3	5	15	**Very High**	Treat	1. 2. 3.	3	2	6	**Medium**	23/03/2021	New	**Early Warning Mechanism** 1. 2. 3. **Actions Planned** '1. 2. 3.	15/09/2020