Item 17
For Approval

GLASGOW KELVIN COLLEGE

BOARD OF MANAGEMENT - MEETING OF 7 JUNE 2021

RISK APPETITE AND RISK REGISTER REVIEW

REPORT BY VICE PRINCIPAL OPERATIONS

1. Introduction

As per the College's Risk Management Strategy, the Risk Register is considered at every meeting of the Audit & Risk Committee, Risk Management Committee and is considered twice per year by the Board of Management and once per year by each of the other formal Sub Committees of the Board.

This is the second review of the Risk Register this Academic Year by the Board of Management.

2. Executive Summary

- The Risk Management Committee had its scheduled quarterly meeting on 25 May 2021 and changes suggested will be presented to the next Audit and Risk Committee meeting.

- No changes have been recommended to the existing Risk Appetite Statement, which is set by the Board – see **Appendix 2**.

- During a recent 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 **Appendix 3**.

3. Audit and Risk and Risk Management Committee

At a recent 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**

4. Risk Register Review - Summary

A summary of the changing risk profile since May 2017 is detailed below. Full detail is provided in the Risk Register in **Appendix 1**.

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 1**, 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, attached at **Appendix 4**, 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.

The ongoing effects of COVID-19 continues to be a major risk to the College as reported to both the recent Audit and Risk Committee in March 2021 and Board of Management in December 2020.

Due to COVID-19, the financial situation of the College has been challenging and there was a draw down of funds from the Glasgow Kelvin Learning Foundation – SCIO 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.

The changes between the November 2020 and March 2021 Audit and Risk Committee are detailed in the table below, together with the reasons for the change. 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.

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

At the Audit and Risk Committee a proposed revision to the format of the Risk Register was presented which will bring the format into line with best practice. This amended format was endorsed for presentation to the Board at the June meeting. However, due to the size of the Agenda, this will be deferred to the August Board meeting.

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.	25		16	Critical		**New Risk**

5. Resource Implications

There are no additional resource implications arising directly from the contents of this report.

6. 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.

7. 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.

8. 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.

9. Recommendations

Members of the Board are recommended to:

i) approve the contents of this report and its appendices;
ii) review the Risk Register and request any changes be considered by the Audit & Risk Committee and
iii) note that a proposed revision to the current Risk Register format will be presented to the Board at its meeting in August 2021.

10. Further Information

Members can obtain further information on the contents of this report from Jeanette Evans, Vice Principal Operations at jevans@glasgowkelvin.ac.uk

Jeannette Evans
Vice Principal Operations
Glasgow Kelvin College
May 2021

Appendix 1a

COVID-19 is a strategic risk that has had (and will continue to have) an impact on all areas of risk across the College for the foreseeable future. As such, the College's Risk Register has been updated accordingly as the probability of risks occurring have mainly increased purely as a result of the impact of COVID-19 felt across the whole world.

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. • 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**

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
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.	Head of Finance	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-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**
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**

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	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**

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
Information and Communications Technology (ICT) - Andy Laszlo, Director of Digital Services/Robin Ashton, Vice Principal Curriculum											
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**

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
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**
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**

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
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**
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**

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
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. • 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**

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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**
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**

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
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 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**
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**

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	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. •-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**

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
Statute and Regulations - Derek Smeall, Principal											
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 - Risk Register **Appendix 1b**

The following tables state the assumptions in allocating numbers to the risks identified

Likelihood

TITLE	DESCRIPTION	SCALE
Almost Certain	Very high chance, or even certainty, that this will happen	5
Likely	Likely to happen	4
Possible	Possible chance of happening	3
Unlikely	Small chance of happening	2
Rare	Very unlikely. Assumption is that it will never occur	1

Consequence

TITLE	DESCRIPTION	SCALE
Catastrophic	Death, total systems loss, unacceptable outcome	5
Major	"Major" injury/illness, major damage or impact	4
Moderate	Loss time injury/illness, serious damage or impact	3
Minor	Minor impact or outcome	2
Insignificant	Very minor. Little consequence	1

Likelihood x Consequence

13 - 25	Critical risk – should be eliminated or moved to a lower level
8 - 12	Undesirable – must be avoided if reasonably practicable
3 - 7	Acceptable – can be accepted provided risk is managed
1 - 2	Low -no further consideration required

	Risk remains above acceptable level
	Risk remains undesirable
	Risk is acceptable or can be managed

↑	Increasing Trend
↓	Decreasing Trend
↔	Constant Trend

Risk Appetite Statement **Appendix 2**

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					

Appendix 3

	Risk	Risk Category	Nov-20 Risk Total	Nov-20 Risk Rating	Correct Nov 20 Risk Total	Correct Nov 20 Risk Rating	Diff	Mar-21 Risk Total	Mar-21 Risk Rating	Real 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	12	Undesirable	-4
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	12	Undesirable	-4
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	9	Undesirable	-3
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	9	Undesirable	-3
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	12	Undesirable	-4
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	12	Undesirable	-4
1	Loss of key staff resulting in increased risk across the operational activities of the College.	Human Resource Management	20	Critical	15	Critical	-5	9	Undesirable	-6

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	12	Undesirable	-8
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	12	Undesirable	-8
			5	Acceptable	6	Acceptable	20 scores were incorr	6	Acceptable	9 Real Changes
			11	Undesirable	18	Undesirable		25	Undesirable	
			16	Critical	8	Critical		1	Critical	
			32		32			32		

Glasgow Kelvin College

Strategic Risk Register Summary – March 2020

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.

Appendix 4

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. 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