

Board Meeting

Date of Meeting	Monday 29 October 2018
Paper Title	GCRB Risk Register
Agenda Item	8
Paper Number	BM1-C
Responsible Officer	Robin Ashton, GCRB Executive Director
Status	Disclosable
Action	For Discussion and Decision

1. Report Purpose

- 1.1. This paper provides an update of the process for managing risk and asks the Board to review a number of key risks.

2. Recommendations

- 2.1. The Board is invited to:

- **consider** the attached risk register and summary of related activity from July to October;
- **discuss** the three key risks identified;
- **consider** the suggested changes to the evaluation of these risks and **amend** as appropriate; and
- **agree** any mitigating actions.

3. Report

- 3.1. The Risk Register has been regularly reviewed by GCRB management since the last meeting of the GCRB Board. An update column in the attached risk register details activity thought relevant to each of the identified risks.
- 3.2. The Board has agreed to review a number of key risks at each meeting. In terms of the risks to be reviewed at this meeting, it is suggested that the Board may wish to discuss the three risks that the Executive considers have changed in the previous four months.
- 3.3. The Risk Register was reviewed by the Executive in October. As a result, the risk scores have been evaluated by the Executive and the following amendments suggested:

Risk ID	Risk Description	Likelihood	Impact	Risk Score
003	The reputation of the College Sector in Glasgow is damaged as a result of adverse publicity.	from 2 to 1	Unchanged (2)	from 4 to 2
006	Fewer learners achieving positive outcomes.	from 2 to 1	Unchanged (2)	from 4 to 2
013	Controls, and preventative measures, are inadequate, which results in a breach of security/safety (e.g. Cyber Attack).	from 2 to 1	Unchanged (2)	from 4 to 2

3.4. In summary, the suggested changes to the risk evaluation result from these events:

- The impact of communication related activity promoting the role and positive impact of regionalisation in Glasgow (Impact on Risk 0003).** In partnership with the colleges, GCRB have coordinated a range of communication related activity. This has included producing regular e-briefings and spotlight magazines demonstrating Glasgow’s significant contribution to national policy priorities (e.g. childcare expansion and upskilling and improving productivity), and arranging events to promote the collaborative strength and relevance of the Glasgow College Region (e.g. joint boards’ event and Ministerial visit). External partners and Scottish Government have also responded positively.
- The finalisation of student activity data for 2017-18 evidencing an overall improvement in student outcomes, particularly for Further Education learners (Impact on Risk 006).** Following a dip in student attainment in 2016-17, data for 2017-18 evidences an overall improvement in attainment levels so that on average 75% of learners successfully complete their course of study. In addition, leaver destination data shows increased proportions of learners moving on to positive post course destinations. A Regional Lead for attainment and a collaborative improvement group has also been established.
- The establishment of Regional GDPR Data Protection Officer and development and agreement by GCRB Audit Committee of a GCRB Data Protection action plan (Impact on Risk 013).** In addition, a report on cyber security considered by GCRB Audit Committee in May 18. The risk of a cyber-attack remains but the report outlined the positive steps taken to mitigate the risks.

3.5. The Board is invited to:

- Discuss the three risks identified.
- Consider the suggested changes to the evaluation of these risks and amend as appropriate.
- Consider the mitigating actions and amend as appropriate.

4. Risk Analysis

4.1. The Board's approach to Risk Management has been developed and enhanced this year. The aim of this report is to support, and enable, the Board's management of risk.

5. Legal Implications

5.1. There are no legal implications arising from this report.

6. Equalities Implications

6.1. There are no equalities implications arising from this report.

7. Resource Implications

7.1. There are no direct financial implications as a result of this report.

8. Strategic Plan Implications

8.1. Through the conditions of grant associated with the Regional Outcome Agreement, GCRB is required to conduct its affairs in accordance with the expected standards of good governance, which include establishing appropriate arrangements in relation to risk.

	AMBITION		RISKS				EVALUATION OF RISK			MANAGEMENT OF RISK			
	Glasgow Region Strategic Plan	Risk ID	Risk Owner	Risk Description	Likelihood	Impact	Net Risk Score	Risk Appetite	Recent Trend	Mitigating Actions	Responsibility for Mitigating Action	Target Risk Score	July to October Update
Strategic	Ambitious for Glasgow	001	Board	Poor environment scanning, and scenario planning, results in a failure to respond proactively to macro-level changes.	1	2	2	Low (1/2)	→	Ensure Board are informed of environmental developments, economic trends, policy developments etc. by proactively managing board/committee agendas, providing policy briefing notes, developing board member communications and online access to information. Constrain activity to those external factors GCRB can influence	Exec Director	2	Exec Director attended Colleges Scotland Principals Group & National Policy Group. Audit Scotland Review of Scotland's Colleges considered by Public Audit Committee in October 2018. Audit Scotland Review of Young People's Mental Health in October 2018. Environment scanning considered by Board at August development event including presentations by representatives from Enterprise and Skills Board, Scottish Government and SFC. Ongoing GCRB participation in review of Glasgow City Region Skills Investment Plan
		002	Board	Effective working relationships are not developed/maintained with key partners due to a focus on short-term internal priorities.	1	2	2	Medium (3/4)	→	Develop engagement strategy with key partners and maximise their participation in regional structures. Through board development promote opportunities for board member engagement with stakeholders and fully utilise range of board members skills.	Exec Director, Chair & Board Members	3	Chair attended Colleges Scotland Board. Finance and Resource Director attended Colleges Scotland, Funding and Finance Committee and Funding Group. GCRB strategic liaison meeting with SFC. Combined Curriculum Review pilot initiated with SFC and SDS Partnership with Action for Children charity agreed in principle.
		003	Board	The reputation of the College Sector in Glasgow is damaged as a result of adverse publicity.	1	2	2	Low (1/2)	↘	Strengthen partnership approaches to information sharing and coherence of management actions and responses (no surprises). Develop communications strategy to promote benefits of regional approach. Seek to address issue of board information being leaked to the detriment of GCRB.	Exec Director	2	Further e-briefings published (diversity, combined curriculum review) and spotlight on FWDF published. Positive feedback received from Government Ministers in respect of publications. Regional childcare initiative shortlisted for national award.
Operational	Ambitious for Learners	004	Board	Opportunities are missed/not resourced appropriately and the potential to add value via the strategic plan is overlooked.	3	1	3	Medium (3/4)	→	Identify development opportunities within collaborative planning activity, specifying resources and choices.	Exec Director	3	Colleges to produce proposals which progress regional strategic goals. Board considered balancing of risk with opportunity at Board development event.
		005	Board	A failure to effectively plan/monitor our educational delivery results in the curriculum not meeting regional economic and social needs.	1	3	3	Medium (3/4)	→	Continuously improve the quality of our evidence base and undertake systematic reviews of curriculum demand and supply and ensure effective monitoring arrangements.	Exec Director	3	June Credit monitoring report provided assurance that colleges are on track to meet volume targets. ROA evaluation data collection arrangements agreed.
		006	Executive Director	Fewer learners achieving positive outcomes.	1	2	2	Low (1/2)	↘	Work with colleges and Education Scotland to review and shape college evaluative reports and quality enhancement plans. Strengthen ROA target setting and monitor progress towards 2017-18 targets.	Exec Director	2	Improvement in student outcomes and proportions of learners moving on to positive post course destinations for 2017-18. Regional Lead for attainment and collaborative improvement group established.
Operational	Ambitious for Colleges	007	Board	Financial sustainability is jeopardised by a reduction in funding and/or an increase in costs.	2	2	4	Medium (3/4)	→	Develop and enhance long term financial planning. Collate information and identify funding priorities for lobbying. Strengthen key external relationships (SFC, SG, SDS, local authorities, education partners).	Director of Finance, Exec Director & Chair	3	Meeting with Asst Director of SFC to consider capital funding policy for 2018/19. Migs with Glasgow Kelvin and Glasgow Clyde Colleges to review capital plans for 2018/19. Final allocations received May 18 and presented to P&R Committee and then Board in June.
		008	Executive Director	Failure to achieve the targets set out in the Regional Outcome Agreement lessens our ability to meet regional needs.	1	2	2	Low (1/2)	→	Enhance quality and value of performance data and regularly evaluate outcome performance. Address areas for improvement through Enhancement Plans within new national quality arrangements.	Exec Director	2	GCRB met with Education Scotland and SFC to review progress in implementing national quality review and enhancement arrangements.
		009	Executive Director	Working relationships within the Glasgow College Region (e.g. students, staff, board members) are ineffective and reduces our collective impact.	2	2	4	Medium (3/4)	→	Continue to develop opportunities for regional collaboration and sharing of information, networking opportunities and relationship building. Board to consider actions to address unauthorised disclosure of information.	All Staff and Board Members	3	GCRB Board Development held in August 18. Regional Boards Diversity event held in September 18. Joint meeting of Audit Committee Chairs planned for November 2018.
Operational	Ambitious for Colleges	010	Executive Director	The approach to people issues (e.g. equality/diversity, skills mix, resourcing of GCRB etc.) is unsatisfactory and we're unable deliver our objectives.	1	2	2	Low (1/2)	→	Ensure GCRB staffing is commensurate with Board responsibilities, and that collaborative management structure has capacity to achieve regional ambitions. Ensure Fair Work Framework values fully embedded within GCRB's employer duties. Take forward looking approach to board development and succession planning across the region.	Exec Director, Board Members, Board Secretary	2	Increased number of Regional Leads agreed for 2018-19. Staffing report considered by Nominations and Remuneration Committee in October 2018.
		011	Board	The capacity and capability of the Board is inadequate and standards of governance fall below the level required.	1	2	2	Low (1/2)	→	Promote values of good governance, and complete annual review of governance, evaluation of skills and development of board members.	Board Members	2	Appraisal meetings held by Chair with all Board members.
		012	Executive Director	There is a breach of legislation/guidance/code of practice and this results in a failure of governance.	1	2	2	Low (1/2)	→	Remain up to date with changes and new developments, ensure knowledge and training are relevant, adopt conservative approach, and take external advice as appropriate.	Executive Team	2	GDPR Data Protection Compliance Report considered by Audit Committee in October 2018. Review of Internal Controls considered by Audit Committee in October 2018. Internal Audit reviews of (GCRB) Funds Allocation rated 'Good'.
		013	Executive Director	Controls, and preventative measures, are inadequate, which results in a breach of security/safety (e.g. Cyber Attack).	1	2	2	Low (1/2)	↘	Seek regular assurance to ongoing risks and responsive college plans to emerging issues.	Executive Team	2	Establishment of Regional GDPR Data Protection Officer. Report on cyber security considered by Audit Committee in May 18. Development and agreement by GCRB Audit Committee of a GCRB Data Protection action plan.