GCRB | Glasgow Colleges' Regional Board

Board Meeting

Date of Meeting	Monday 25 January 2021
Paper Title	GCRB Risk Register
Agenda Item	9
Paper Number	BM4-E
Responsible Officer	Martin Boyle, Executive Director
Status	Non-disclosable, subject to board approval
Action	For discussion

1. Report Purpose

1.1 The purpose of this report is to update board on the current status of the risk register, and to propose re-worded risks in line with recent board request.

2. Recommendations

2.2 Board is in invited to **note** the position of the current Risk Register and **approve** the recommended changes to the GCRB Risk Register.

3. Background

3.1 The risk register is reviewed by the Executive Team on a weekly basis, by the full board, and its management and process is overseen by the Audit Committee. As per previous agreement, the board reviews a small number of risks in detail at each meeting, with the aim that each risk is reviewed within each academic year.

3.2 It is proposed that this process continues in order to ensure that risk remains a key item on the board and committee agenda, and that detailed consideration of specific risks continue to be a pertinent role of board, allowing risk to inform and support board decisions.

3.3 GCRB plans for 2021 include provision for a review of the current Risk Register.

3.4 However, at the GCRB Board meeting of 9 November 2020 it was suggested that a refresh of the wording of the current risks would ensure that they remain relevant on an on-going basis, and that the language of the risks more accurately reflects the challenges of a significant period of change.

3.5 Over two workshops in December 2020, the GCRB Executive team reviewed the language of the overarching 'Risk Description' elements of the Risk Register, seeking to add clarify, definition and disambiguation, while seeking to ensure that overarching risks faced by the region are more accurately reflected. In addition, the edited risk descriptions seek to more

accurately reflect the significant regional, national and global impact risks surrounding the on-going Covid-19 crisis, while also taking greater recognition of the national and regional review work which is now on-going and which is likely to be a major driver of sectoral change.

3.6   These edited Risk Descriptions were presented to the GCRB Audit and Assurance Committee on Tuesday 12 January 2021 for their consideration and amendments developed and presented to board.

3.7   Unlike comment made during the normal board cycle where three risks are considered, all risks are reviewed. Specific changes include:

3.8   **Risk 1** (GCRB is unable to respond proactively to internal and external change including regional and national reviews and systemic change) now includes greater recognition of regional and national reviews as lead. The likelihood of increased risk is increased from 1 to 2 at the recommendation of AAC.

3.9   **Risk 2** (GCRB does not develop/maintain effective working relationships with key external stakeholders) Importance of engaging and working with key stakeholders for regional and national review, as well as for on-going Covid-19 response activity, is highlighted as key to current and future activity. The likelihood of increased risk is increased from 1 to 2 at the recommendation of AAC.

3.10   **Risk 6** (Ineffective regional curriculum planning impacts regional, economic and social needs) Recognition is given to the fact that planning a regional curriculum offer is significantly hampered by major short-term emergency challenges, while recognising changes that are having to be made at pace. On-going engagement across colleges and partner organisations seeks to address this risk.

3.11   **Risk 7** (Fewer learners achieve positive outcomes) This is a core risk of significant importance which cannot be overstated. This clarified risk seeks to ensure that student outcomes are at the forefront of activity and recognises the significant on-going impact on students, learning and teaching. It is recommended that impact is raised from 2 to 3 in recognition of the significant risk to students.

3.12   **Risk 9** (Failure to achieve core targets lessens our ability to meet regional needs) Risk likelihood increased from 2 to 3 in recognition of significant impact of Covid-19 on core targets through 20-21 and likely beyond.

3.13   **Risk 10** (Ineffective collaboration between all partners in the Glasgow college region reduces our collective impact) Risk clarified to address potential risk to 'internal' partner working across the Glasgow college region, with particular recognition of the risks associated with regional review. Likelihood increased from 1 to 2 at the recommendation of AAC.

3.14   **Risk 11** (GCRB Executive does not have the necessary capacity and capability to deliver our objectives) and **Risk 12** (GCRB Board membership does not have the necessary capacity and capability to deliver our objectives) Disambiguation of risks which could have been misinterpreted. Seeks to clarify

4. Risk Analysis

    4.1 This paper is intended to ensure consideration of GCRB's understanding of risk, and to ensure that the correct focus is provided through 2021.

5. Legal Implications

    5.1 No additional legal implications at this time.

6. Financial Implications

    6.1 No additional financial implications at this time.

7. Strategic Implications

    7.1 Understanding of the importance of the key implications of risk in management of Outcome Agreement and the outcomes of the region is a vital output of risk management process.

AMBITION			RISKS			EVALUATION OF RISK					MANAGEMENT OF RISK			
	Glasgow Region Strategic Plan	Risk ID	Risk Owner	Risk Description		Likeli-hood	Impact	Net Risk Score	Risk Appetite	Recent Trend	Mitigating Actions	Responsibility for Mitigating Action	Target Risk Score	October to January Update
Strategic	Ambitious for Glasgow	001	Board	GCRB is unable to respond proactively to internal and external change including regional and national reviews and systemic change (reviewed Jan 2021).		2	2	4	Low (1/2)	→	Ensure GCRB: 1. patricipates in effective environment scanning and scenario planning; 2. are informed of environmental developments, economic trends, policy developments etc. 3. Proactively manage board/committee agendas, provide policy briefing notes; 4. develop board member communications and online access to information; 5. focus activity to those external factors GCRB can influence; 6. monitor board engagement. In addtion, GCRB is now actively engaged in review activity at a regional and national level and developing broader stakeholder engagement.	Exec Director	2	Attend Colleges Scotland Board and Principals Group, Glasgow Partnership for Economic Growth, and Sector Learner Journey Review Implementation group. Chair's Briefings have been issued to Board members and to keep Board members informed of impact on the college sector and beyond. Now engaged with broad range of stakeholders on regional review activity with more to follow
		002	Board	GCRB does not develop/maintain effective working relationships with key external stakeholders (reviewed Jan 2021).		2	2	4	Medium (3/4)	⇒	Develop engagement strategy with key partners and maximise participation in regional structures. Promote opportunities for GCRB engagement with stakeholders and fully utilise range of board members skills. Effective GCRB communications strategy to engage stakeholders. Regional review activity and membership of key decision-making/working groups core focus of activity.	Exec Director, Chair & Board Members	3	Skills Alignment Phase 1 completed by SDS in 2019 and presented to GCRB Board in January 2020. Phase 2 of work partially complete and now evolving into City Deal-wide activity tied to interim OA 21-22 work. Regional review also key stakeholder interface work.
		003	Board	The reputation of the Glasgow college region is damaged as a result of adverse publicity (reviewed Jan 2021).		2	2	4	Low (1/2)	⇒	Strengthen partnership approaches to information sharing and coherence of management actions and responses (no surprises). Continue to develop collaborateive communications strategy to promote benefits of regional approach. Effectively manage information flow and board and committee governance.	Exec Director	2	Colleges have shared performance information (with GCRB and this was reviewed by the Performance and Resources Committee. ROA 'emergency year' work on-going in close adherence to SFC guidelines and working with colleges. Communications meeting with all three colleges and GCRB Comms' Lead on-going. GCRB issued ebulletins highlighting the region's continued work, live mental health sessions during lockdown and latops for care-experienced students as part of the STAY project. Work on-going. Communications plans developed and discussed continually with all three colleges and wider stakeholder contacts in the sector regarding COVID-19 and impact on students, staff, stakeholders and wider FE sector. GCRB digital resources reviewed and updated -home page of GCRB website has been updated with news page and planning underway for full website update this year. Full communications update provided in Board papers. Regular cross-colleges meetings with Principals, VPs and finance leads, and additional focused meetings on on-going basis.
		004	Board	Opportunities to deliver regional strategy are missed/not resourced appropriately (reviewed Jan 2021).		2	1	2	Medium (3/4)	⇒	Identify development opportunities within collaborative planning activity, specifying resources and strategically informed decision making processes.	Exec Director	3	Programme of Action 2020-21 approved and being actioned by GCRB. Engaging closely with SFC, SDS, colleges and other partnerships on collaborative planning activity.
		005	Executive Director	Brexit has an adverse impact on the Glasgow college region (reviewed Jan 2021).		2	1	2	Low (1/2)	⇒	Remain up to date with the latest advice and guidance from Scottish Government and Scottish Funding Council. Seek information from stakeholders/partners of the potential impact on them. Continue to monitor now that Brexit has happened. Long-term implications to be monitored.	Executive Team	2	Brexit guidance published by SFC. Executive Director has participated in regular conference calls/on-line meetings with all stakeholders in response to the Coronavirus epidemic.
	Ambitious for Learners	006	Board	Ineffective regional curriculum planning impacts regional, economic and social needs (reviewed Jan 2021).		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	Curriculum and Resources Plan 2022-27 to be developed reflecting lessons learned from Skills Alignment Pilot.
		007	Executive Director	Fewer learners achieve positive outcomes (reviewed Jan 2021).		3	3	9	Low (1/2)	↗	Work with colleges, Colleges Scotland, Scottish Government and Education Scotland to directly address the significant risk to the student experience of Covid-19 over a significant period. Work closely with SFC and colleges on Outcome Agreement, monitoring and strategic interventions.	Exec Director	2	Latest monitoring information considered by P&R Committee. This likelihood and impact of this risk occuring is heightened as a result of the Coronavirus outbreak and subsequent closure of colleges, with increased risk to 20-21 outcomes.
Operational	Ambitious for Colleges	008	Board	Financial sustainability is jeopardised by a reduction in income and/or an increase in costs (reviewed Jan 2021).		3	3	9	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). Monitor, and assess, the risks related to the reducing funds held by ALFs, significant financial impact on colleges, and long-term impact.	Finance & Resources Director, Exec Director & Chair	3	The financial sustainability of colleges has been materially impacted by the Coronavirus outbreak. Some assurance provided by Scottish Government but many questions remain. Close on-going engagement with colleges and SFC is managing and mitigating wherever possible
		009	Executive Director	Failure to achieve core targets lessens our ability to meet regional needs (reviewed Jan 2021).		3	2	6	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. Close working engagement with SFC and other partners on emergency and interim activity to manage target management. Seek to maintain effective, proactive communication with colleges to support them through challenge.	Exec Director	2	Latest monitoring information considered by P&R Committee. College performance data continue to show the emerging significant impact of Covid-19. Engagement with SFC, CS, SG, SQA etc to focus on key emerging issues.
		010	Executive Director	Ineffective collaboration between all partners in the Glasgow college region reduces our collective impact (reviewed Jan 2021).		2	2	4	Medium (3/4)	⇒	Continue to develop opportunities for regional collaboration and sharing of information, networking opportunities and relationship building. Provide clear opportunity for contribution and collaboration through the regional review process.	All Staff and Board Members	3	Positive collaboration between all partners, especially during current crisis to aim to adopt a common response. Recognition of the challenges associated with different views to regional review outcome. Collaborative discussion forums supported to ensure
		011	Executive Director	GCRB Executive does not have the necessary capacity and capability to deliver our objectives (reviewed Jan 2021).		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 embeded within GCRB's employer duties, and that capacity and core activity are supported through the review process. Monitor capacity to deliver. Monitor employee wellbeing, support etc.	Exec Director, Board Members, Board Secretary	2	The small GCRB Executive team plus Board Secretary role perform significant range of governance, finance, legislative and other activities in line with GCRB role and responsibilities. Ensure staff evaluation, support, CPD and capacity are monitored to deliver high-functioning team.
		012	Board	GCRB Board membership does not have the necessary capacity and capability to deliver our objectives. (reviewed Jan 2021).		1	2	2	Low (1/2)	⇒	Maintain and improve arrangements to mitigate Covid-19 impacts on governance, specifically: monitor announcements by Scottish Government/key regulators to support planning; monitor effectiveness of remote meetings; progress priority areas of Board business and plan for swift resumption of any deferred activity. Take forward looking approach to board development and succession planning across the region. Consider board capacity and specialisms through review process and beyond.	Board Members	2	Board Effects being used for circulation of papers; VC meetings software adopted; focused Board and Committtee agendas in place; dialogue ongoing with Scottish Government, regulators, board secretaries, over interim arrangements for appointments, evaluation, etc. Continue to review processes proactively
		013	Executive Director	A breach of legislation/guidance/code of practice results in a failure of governance (reviewed Jan 2021).		2	2	4	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. Continue to take steps to ensure effective information management. Ensure effective reporting and monitoring arrangements.	Executive Team	2	Chair and Board Secretary engagement in Good Governance Steering Group; annual review of govenance framework undertaken, to be reported to AAC; Progressing to implement agreed plan of actions in respect of Data Protection reported to Audit and Assurance Committee.
		014	Executive Director	Inadequate controls and preventative measures result in a breach of security/safety (e.g. cyber attack) (reviewed Jan 2021).		2	2	4	Low (1/2)	↗	Seek regular assurance on ongoing risks and responsive college plans to emerging issues. Seek assurance re IT systems used by GCRB and provided by City of Glasgow College.	Executive Team	2	The move to remote working placed an increased reliance upon the IT systems and the stability/security of these. Experience to date has been positive and the systems have proved to be reliable. Continue to monitor and seek proactive improvements.
Strategic	Cross-Cutting Risk	015	Executive Director	Coronavirus has a long-lasting impact upon strategy, operations and finance for the region (reviewed Jan 2021).		3	3	9	Low (1/2)	↗	Maintain regular contact with Glasgow colleges, SFC, Colleges Scotland and all other relevant bodies, and maintain planning activity to manage and mitigate impact.	Exec Team, Board		Chair and Executive Director participating in wide-rage of information sharing and planning meetings, including conference calls with SFC, college principals, SG, SFC, Colleges Scotland etc. Finance and Resource Director in regular communication with SFC and providing quick response to information.
Operational	Cross-Cutting Risk	016	Executive Director	Fraudulent activity has an impact on reputation and finance (reviewed Jan 2021).		3	2	6	Low (1/2)	↗	Maintain clear lines of communication and reporting to Audit Committee for oversite. Continue to monitor evolving steps in investigative process, and provide updates where appropriate. Provide clear communication to stakeholders, and maintain clear partnership working approach with SFC.	Exec Team, Board		Specific fraud matter considered by the Audit and Assurance Committee and Board on-going . Actions agreed by Committee previously have been implemented. External Audit reports and activity update provided by college. Close working woth SFC continues.
Operational	Cross-Cutting Risk	017	Executive Director	Scenario planning and stress testing is inadequate to mitigate against major incidents (reviewed Jan 2021).		2	3	6	Low (1/2)	↗	Initiate scenario planning activity and stress test key points of contact to ensure that core functions can be managed.	Executive Team		Planning and responsive actions were put in place to establish Executive Team, Committee and Board ways of working through the impact of Covid-19. These plans continue to be developed and tested to include Disaster Recovery and Scenario Planning activity. Ways of working are regularly considered and discussed by the Executive Team.