West College Scotland

CORPORATE DEVELOPMENT COMMITTEE

**MONDAY 26 FEBRUARY 2018 at 4.00 p.m. in
Room 1, Abercorn Centre, Paisley Campus**

AGENDA

General Business

1. Apologies
2. Declaration of Interests

3. Minutes of the meeting held on 12 December 2017   Enclosed   MN
   Actions from the minutes   Enclosed   MN

4. Matters arising from the minutes
   (and not otherwise on the agenda)
   .1 CDM146 Corporate College Dashboard Performance   Oral report   LC
   Reporting

Main Items for Discussion and/or Approval
   **Agenda Items 5,6 & 7 are deemed to be reserved under
   the Freedom of Information Act as being commercially sensitive**

5. Foundation Apprenticeships   Paper 5   SR
   Paul Fagan, Head of Enterprise and Employability, will
   Present information to the Committee

6. Commercial Competitor Analysis   Paper 6   SR

7. Alternative Income: Update   Paper 7   SR

8. Risk   Paper 8   LC

Items for Information

9. Schedule of Business   Oral report   LC

10. Any other business

   Next meeting: Tuesday 22 May 2018 at 4.00 p.m., Paisley Campus

Gwen McArthur
Secretary to the Committee

CORPORATE DEVELOPMENT COMMITTEE

MINUTES: 12 December 2017

Present: Mark Newlands (in the Chair) and Jennifer Johnston.

Attending: Liz Connolly (Vice Principal Corporate Development), Diarmid O'Hara (Director of Communications, Policy and Planning); Sara Rae (Director of Business and Enterprise) and Drew McGowan (Secretary to the Committee).

Apologies: Keith McKellar, Audrey Cumberford, Jim Hannigan.

CDM140 WELCOME
The Chair welcomed the members and attending officers to the last meeting of the Committee before the Christmas holidays.

CDM141 DECLARATION OF INTERESTS
No declarations of interests made.

CDM142 MINUTES
The minutes of the meeting held on 5 September 2017 were approved.

CDM143 ACTIONS FROM THE MINUTES
The Committee noted the actions from the last meeting.

CDM144 ECONOMIC UPDATE
Allan Dick (Economic Development Manager) delivered a presentation to the Committee on the economy and labour market in the West region and Scotland. The Committee **agreed** that the Chair will discuss the possibility of bringing the Economic Development Manager's economic update to the Board with the Chair of the Board.   **[Action: MN]**

CDM145 ALUMNI ASSOCIATION: UPDATE (CDM132)
Further to the discussion paper that the Committee discussed at the September meeting, the Director of Communications, Policy and Planning tabled an update on the College's work towards establishing an Alumni Association. The Committee was told that a Short Life Working Group, comprised of teaching staff, support staff and DYW West, was established to examine the feasibility of an Alumni Association. The Director explained that contact had been made with three organisations which provide alumni services to schools, colleges and universities: Graduway; Future First; and Think Alumni. A discussion paper will be prepared for the Senior Management Team in the New Year and the Committee **agreed** that it would be updated on the progress towards an Alumni Association at an appropriate future meeting.
                                [Action: DOH]

CDM146 CORPORATE DASHBOARD (CDM131)

The Vice Principal Corporate Development provided an update on the College's progress towards identifying appropriate performance indicators for the Corporate Dashboard. The Vice Principal provided an overview of the draft KPIs, and explained that they are linked to the WCS strategy and had been discussed with the Principal, Vice Principal Operations and Vice Principal Leadership. The Committee members and attending officers discussed the potential challenges between quarterly and annual reporting, particularly around presenting the KPIs, but agreed that these difficulties could be mitigated. The Committee **agreed** to approve and submit the draft indicators to the Board for its meeting in February.   **[Action: LC]**

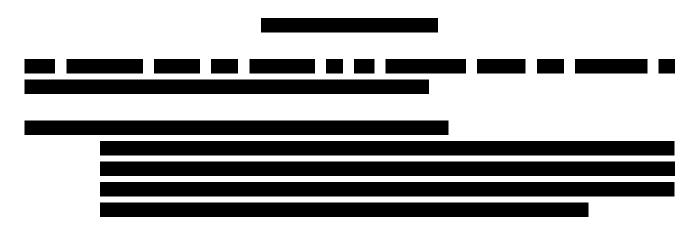**CDM147 WEST OF SCOTLAND SKILLS SURVEY (CDM137)**

The Director of Communications, Policy and Planning tabled an update on the West of Scotland Skills Survey that the College is undertaking in January to March. The Director outlined the updated research plan, new communication plan and the College's engagement with partners and participants. The Committee agreed that the College should undertake a pilot of the skills survey with a small group of regional employers prior to the January launch. The Director informed the Committee that this would be conducted for Christmas break and any feedback would be reflected in the final questionnaire. The Committee **agreed** that the final report of the West of Scotland Skills Survey would be submitted to the Committee for its meeting in May. **[Action: DOH]**
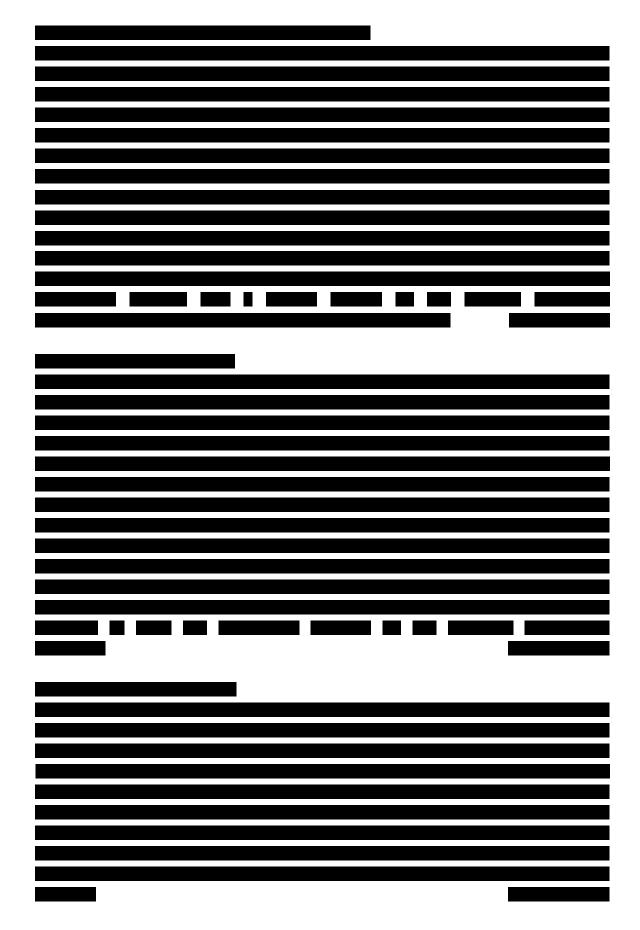
CDM148 AGENDA ITEMS FOR 2018

The Committee discussed and **agreed** the agenda items for 2018 whilst noting that they may be subject to change.

CDM149 NEXT MEETING

The next meeting of the Committee was due to take place on 20 February 2018. However, the Committee **agreed** that the meeting should be postponed to 27 February 2018 at 4.00pm at Paisley campus.

Corporate Development Committee: Meeting of 12 December 2017

Actions from the Minutes

Date of Meeting	Min Ref	Matter for Action	Responsible Person	Action Taken	Timescale (where applicable)
12 Dec 2017	CDM144	Economic Update – Chair to discuss with Chair of Board the possibility of taking this report to the Board	M Newlands		
	CDM145 132	Alumni Association – update on progress with establishing an Alumni Association to be provided	D O'Hara		Future meeting
	CDM146 131 116	Corporate College Dashboard Performance Reporting – draft indicators to be presented to Board at its February meeting	L Connolly	Outcomes from Board meeting to be reported to next meeting	February 2018
	CDM147 137	West of Scotland Skills Survey – final report on skills survey to be provided to Committee at its May meeting	D O'Hara		May 2018
	CDM150 139, 96	Alternative Income i.Flexible Workforce Development Fund – further update to be provided to next meeting. ii. Commercial Activities – Committee to be kept updated on commercial activities, including international activities. Recruitment of International Manager – progress report to be provided iii. Development Funding – Committee to be kept updated	S Rae	i.Further information on Flexible Workforce Development Fund to be provided to next meeting Progress with recruitment of International Manager to be provided to May meeting	i.February meeting ii. Each meeting May meeting iii. Future meeting

		Actions from previous minutes			
5 Sept 2017	CDM138	Customer Relationship Management System – Committee to be kept informed of progress	S Rae		Future meeting
16 May 2017	CDM117	Ethical Approach to Business – corporate and social responsibility (CSR)	L Connolly	Update report to committee on proposed policy approach to CSR	Future meeting
28 Mar 2017	CDM110	Private Training Providers – further analysis of information gathered to be conducted to provide a profile by sector and why employers chose private providers	L Connolly S Rae		Future meeting
	CDM96, 85, 71	Developing an International Strategy – Committee to monitor developments	S Rae	Update provided to December 2017 meeting	Updates to be provided on a regular basis
17 May 2016	CDM70	Stakeholder Engagement – framework and implementation plan to be developed further for future consideration	L Connolly	Work already carried out and reflected in Board Development Action Plan. To be taken forward by Chair and Principal	Complete

GMcA/24.01.18/Updated 19.02.18

TITLE: **STRATEGIC RISK REGISTER**

Background: Under the Corporate Governance Code the Board of Management is tasked with ensuring a framework of risk management and control is in place. This paper presents to the HR & OD Committee the considerations of the College Senior Management Team (SMT) in relation to the College Strategic Risk Register.

Action: The Corporate Development Committee is requested to review and approve the Strategic Risk Register and in doing so consider:

- The risks included in the register;
- The risk ratings both pre and post mitigation;
- The removal of risks 14;
- Whether any other risks should be considered for removal; and
- Whether any new risks should be considered for inclusion.

Lead: Liz Connolly, Vice Principal Corporate Development

Status: Open

1.   Risk Management Strategy

1.1   The West College Scotland Risk Management Strategy was approved by the Board of Management and is subject to ongoing review by the Audit Committee.

2.   Considerations of Board Sub-Committees and Senior Management Team

2.1   The College Senior Management Team (SMT) has carried out a periodic review of the College strategic risk register for consideration by Board Committees prior to presenting this at the next Board of Management meeting in March 2018. A copy of the previous version of the risk register, and the proposed updated version, are provided with this report.

2.2   The SMT have made the following changes to the Strategic Risk Register:

Risk 1 – Impact of SFC funding changes
The description for Risk 1 was previously stated to be as follows:

'Impact of SFC funding changes including credits, European, ELS, student support and estates maintenance funding.

This has been revised in order to more fully recognise the nature of the risk arising, with the risk description now reading as follows:

'Negative impact of SFC funding changes including revised Credit model; reduction in European funding; changes in One Plus activity; changes to levels of student support funding; and impact of estates maintenance funding methodology.'

The pre and post mitigation scores for Risk 1 have not been altered and this remains the highest ranked risk faced by the College.

Risk 2 – Failure to secure estates capital funding
The description for Risk 2 was previously stated to be as follows:

'Failure to secure estates capital funding for future investment or refurbishment.'

This has been amended in order to recognise the broader nature of this risk as being not only in relation to buildings, but also in relation to information technology, and now reads as follows:

'Failure to secure adequate estates maintenance/capital funding for future investment or refurbishment of IT and physical infrastructure.'

There have been no changes to the pre or post mitigation scores for Risk 2.

The potential to combine risks 2 and 3 was also considered by the College SMT given the similar nature of each risk – although Risk 3 is slightly different in nature given it relates specifically to estates business cases. SMT agreed that this would be referred to the Estates Committee for consideration.

Risk 3 – Business cases for development of the College estate are delayed

No change has been made to this risk subject to further consideration by the Estates Committee as outlined above.

Risk 4 – Intensification of the SFC Regional Outcome Agreement process (previously risk 5)

The description for this risk previously read as follows:

'The College is unable to meet student targets leading to a failure to deliver stated Regional Outcome Agreement (ROA) objectives.'

However this has been updated in order to reflect the change of emphasis in relation to the SFC Regional Outcome Agreement process and the challenges arising in relation to the changing educational landscape, with particular reference to schools and the allocation and use of Scottish Government Attainment funding. The revised description for Risk 4 now therefore reads as follows:

'Intensification of the SFC Regional Outcome Agreement process requires the College to be more ambitious in delivering and sustaining outcomes at a time of limited resource and changing educational landscape, particularly in relation to schools.'

Given this intensification of the SFC ROA process the SMT were minded to increase the pre mitigation risk impact score from 3 to 4 resulting in an overall post-mitigation risk rating score of 20. This is pre mitigation score of 20 is higher than the previous rating of 15, and thus has resulted in the risk moving from position 5 to position 4 on the strategic risk register.

Risk 5 – Impact and outcomes arising from National Pay Bargaining (previously Risk 4)

The prominence of the Regional Outcome Agreement in the relationship between the College and the SFC has move the impact of national bargaining down the Register. As the outcome of the negotiation process becomes clearer along with the potential impact on the College this downward movement appears correct. No change to this risk scoring was considered necessary.

Risk 6 – Failure to maintain or acquire and use It systems and infrastructure to support the digital ambitions of the College (previously risk 10)

The description for this risk previously read as follows:

'Failure to maintain or acquire and use IT systems and infrastructure to support strategic improvement in business and learning processes.'

However this was reviewed in light of ongoing College dialogue with the SFC regarding the need for investment to meet College Digital Strategy requirements. The risk description has therefore been revised to:

'Failure to maintain or acquire and use IT systems and infrastructure to support the digital ambitions of the College'.

The SMT view this as being a critical area for the College and as each year passes with a stagnant level of investment in addressing digital requirements the impact of the risk will increase. This is evidenced by recent Education Scotland review outcomes. The pre mitigation risk impact score has therefore been increased from 3 to 4 resulting in a total risk rating of 16. With limited visibility on the availability of future funding the post mitigation risk probability score has been increased from 3 to 4 resulting in a total score of 12.

This movement upward movement in rating result in the risk moving from the ranking of (10) on the register to a ranking of (6).

Risk 7 - Inadequate business continuity/cyber resilience planning (previously risk 6)
The risk description previously read as follows:

'Inadequate business continuity / contingency planning.'

However this has been revised in order to recognise the increasing prominence of cyber security and resilience, and now reads as follows:

'Inadequate business continuity / cyber resilience planning leading to material interruptions to service delivery.'

Although the risk description has been widened, the SMT believes that based on recent internal audit work and the preparation work being undertaken by the College there is no requirement to change the risk scoring. The mitigations in relation to this risk have been updated in order to recognise the work that has been undertaken and is being progressed by the College in relation to cyber resilience.

Risk 8 – Unable to develop and commence the implementation of an Estates Strategy (previously risk 7)
SMT considered that no changes were required to this risk.

Risk 9 – Inability to maintain positive staff relations (previously risk 8)
SMT considered that no changes were required to this risk.

Risk 10 – Failure to implement a systematic approach to workforce planning (previously risk 9)
SMT considered that no changes were required to this risk.

Risk 11 – Inability to specific, deliver and effectively implement an approach to generation of alternative income (previously risk 12)
With the likelihood that SFC funding for the coming year being of a similar level to this year the SMT consider the impact of the failure to deliver on alternative income

targets to have a greater impact on the College budget. As such the pre mitigation risk impact score has increase from 3 to 4 and the score increased to 12. Even after the mitigating actions have been implemented, given the critical nature of this income generation to the delivery of a break even budget the post mitigation score risk impact score has also increased from 2 to 3 giving a total score of 9.

Risk 12 – failure to invest sufficient resource into delivery of College Carbon Management Plan (previously risk 11)

The achievement of carbon reduction targets is embedded in the Regional Outcome Agreement. The SMT consider that no change is required to this risk.

Risk 13 – Compliance with General Data Protection regulations (GDPR)

SMT considered that no changes were required to this risk.

Risk 14 – Investment plans do not reflect future requirements

The SMT consider that the content of this risk is captured within risk 2 and that it should therefore be removed.

Risk 15 – Complexity of sequencing estates investment works

SMT considered that no changes were required to this risk.

Risk 16 – Failure to analyse and respond effectively to changes such as ONS implications

The SMT consider that the implications of ONS are either now well understood and have been/are being addressed. However there remains one key issue at this time still without a clear resolution – which is the impact of the end of the 3 year derogation from the Scottish Government regarding the purchase of commercial insurance. A business case has been presented to the Scottish Government by Scotland's Colleges requesting a continuation of the derogation and they are awaiting feedback. As the outcome is unclear as is the impact it may have this risk will be considered further during the next cycle of Committee reviews. At this stage the working of the risk description and the mitigations have been revised slightly.

2.3   The Strategic Risk Register has been updated based upon the above considerations and is presented to the Committee for review. The considerations of this Committee will be consolidated along with the feedback from the other Board Committees during the forthcoming round of meetings. The Audit Committee will then consider all Committee feedback and make recommendations to the Board of Management at its next meeting in relation to any changes required to the strategic risk register.

3.   **West College Scotland Risk Management Training and Assurance**

3.1   In addition to ongoing review of the strategic risk register the College will progress the following training during 2018 in order to further develop risk management systems:

- A Board of Management session facilitated by Mott MacDonald to review the College Risk Management Strategy and risk appetite of the Board has been arranged prior to the March 2018 meeting; and

- College Heads of Department will undergo an introduction to risk management as part of the development of the operational risk management process.

4.   Conclusion

4.1   The Committee is requested to review and approve the strategic risk register and consider:

- The risks included in the register;
- The revised risk rating both pre and post mitigation;
- The removal of risk 14;
- Whether any other risks should be considered for removal; and
- Whether any new risks should be considered for inclusion.

WEST COLLEGE SCOTLAND STRATEGIC RISK REGISTER 2017-18 (revised)

Risk No.	Strategic Priority	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation			Executive Responsible
			Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	
1	1,2,3,11	**Negative impact of SFC funding changes including revised Credit model; reduction in European funding; changes in One Plus activity; changes to levels of student support funding; and impact of estates maintenance funding methodology.**	5	4	20	1) 2017/18 budget approved in conjunction with 5 year future financial scenario planning and detailed assumptions. 2) Robust forecasting including production and review of monthly management accounts. 3) Estates Strategy including objective to improve / rationalise the College estate utilising estate maintenance funding. 4) Commercial Development Group reporting to Corporate Development Committee with focus on ESF activity. 5) Robust monitoring of current and future curriculum delivery plans (CMAP) including staffing requirements. 6) Significant work undertaken to embed Workforce Planning into College operations / planning. Positive internal audit report highlighting solid base position. 7) On going discussions with SFC combined with modelling of financial and delivery scenarios. 8) Active College representation and involvement in external SFC review groups - Credit review, Access and Inclusion, Rural and remoteness Premium and Student Funding.	4	4	16	VP Operations / VP Educational Leadership
2	1,2,3,11	**Failure to secure adequate estates maintenance / capital funding for future investment or refurbishment of IT and physical infrastructure.**	5	4	20	1) College Estate Strategy submitted to SFC, reviewed by internal audit and Year 1 implementation update provided to Board of Management Estates Committee. 2) Continued engagement with SFC regarding the basis of the funding methodology for the allocation of estate maintenance resource. 3) Participation in SFC/sector Capital Working Group. 4) Awaiting response from SFC of Outline Business Case for Greenock campus. 5) Submission of Outline Business Case for the future development of the Paisley campus. Awaiting feedback from SFC. 6) SFC have issued outcome of national estate condition survey. College looking to further engage with SFC as to direction of travel of survey results.	4	4	16	VP Operations

			Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation			
Risk No.	Strategic Priority	Risk	Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	Executive Responsible
3	1,2,3,11	Business cases for development of estate are delayed, impacting upon ability of College to recruit students / retain staff.	5	4	20	1) The College continues to actively engage with SFC, SFT and other key stakeholders. 2) College Estate Strategy highlights required estate investment for consideration by SFC and Scottish Government. 3) Option Appraisal and Outline Business Case for College estate in Greenock and Paisley submitted to the SFC and formal response on next steps awaited. 4) Ongoing prioritisation of College estates funding in a way which links to priority projects, with update reports being provided to each meeting of the Board of Management Estates Committee. 5) Ongoing involvement in sector/SFC capital working group enables WCS input to ongoing discussions in relation to SFC estates maintenance allocation methodology and capital allocations. 6) Ongoing engagement with SFC in relation to national estate condition survey review.	4	4	16	VP Operations
4 was 5	1, 3, 5, 6	Intensification of the SFC Regional Outcome Agreement process requires the College to be more ambitious in delivering and sustaining outcomes at a time of limited resource and changing educational landscape, particularly in relation to schools.	5	4	20	...improving working relationships with local authorities and school head teachers in order to access attainment funding in support of College activities in this area. 2) Continued engagement with SFC over likely impacts of "intensification of ROA objective monitoring" for current and future year delivery and funding. (3) Robust internal monitoring, tracking and reporting procedures in place, including through College operational planning process and ongoing monitoring through the Board of Management and sub-committees. 4) Detailed curriculum development planning and review process which has been subject to review by internal audit. 5) Blended approach to delivery of teaching and learning including distance and online learning allowing College to address changes in recruitment and delivery. 6) Curriculum offering is reviewed to ensure employer and student needs are met and appropriate courses delivered.	4	3	12	VP Educational Leadership
5 was 4	3, 11	Impact and outcome of National Pay Bargaining for both teaching and support staff.	6	3	18	1) WCS representation and involvement in national college Employers Association and national joint negotiating committee (NJNC). 2) Financial impact assessment / planning scenarios with the financial impacts of National Bargaining under ongoing discussion with the SFC. 3) Business continuity Planning considers impact of industrial action, with specific plans in place. 4) Local trade union consultation and negotiating committees for support and teaching staff continuing to mete on an ongoing basis in order to maintain positive College industrial relations. 5) Robust college sector and WCS communication plan. 6) Local workforce planning arrangements subject to positive internal audit review (May 2017) - with a follow up review planned during 2018. /2018	6	2	12	Principal

Risk No.	Strategic Priority	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation			Executive Responsible
			Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	
6 was 10	2, 3	Failure to maintain or acquire and use IT systems and infrastructure to support the digital ambitions of the College.	4	4	16	1) IT Strategy, Policies / Procedures and system access processes in place. 2) Staff and student feedback and evaluation procedures in place. 3) IT Contingency Plan in place with regular review. 4) Embedded IT incident review process. 5) Development of College Digital Strategy with assistance from external organisations. 6) Development of funding bid based on above work for submission to SFC to ensure IT systems are fit for purpose into the 21st century.	4	3	12	VP Operations
7 was 6	2, 11	Inadequate business continuity / cyber resilience planning leading to material interruptions to service delivery.	3	4	12	1) Internal audit report on Business Continuity Planning highlighted areas for development. Plans in place to action recommendations. 2) Internal audit have carried out IT security health check with aim of preparing the College to answer requirements of Governments Cyber resilience Strategy. Action plan in place to address recommendations made. 3) Incident response plan has been updated and communicated to all relevant staff. 4) Effective estate response procedures to incidents. 5) Adequate insurance cover to assist in recovery after an incident. 5) Risk assessment process well embedded at Strategic level now being further embedded at operational level. 6) Planned preventative maintenance regime in place including fire and intruder alarms. 7) Engagement of external consultancy support to assist with addressing requirements of cyber resilience action planning and implementation.	3	3	9	VP Operations
8 was 7	2, 9, 11	Unable to develop and commence implementation of an Estate Strategy that achieves the agreed criteria for size, quality, flexibility and carbon emissions	3	4	12	1) Estate Strategy 2016-2026 approved by Board of Management and submitted to SFC. 2) Improvements to infrastructure and equipment are actioned and updated annually based on funding available. 3) Minimise possibility of unplanned closures through regular maintenance of physical assets. 4) On going discussions with funders and other stakeholders to identify potential funding / development opportunities. 5) College wide condition survey work undertaken to assist with identification of areas of investment . 6) Internal audit review (May 2017) of Asset Management included positive review of work undertaken to develop and implement the College Estate Strategy 2016-26.	3	3	9	VP Operations

			Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation			Executive Responsible
Risk No.	Strategic Priority	Risk	Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	
9 was 8	3, 4, 11	**Inability to maintain positive staff relations**	4	3	**12**	1) Internal audit report on Workforce Planning confirmed positive outcomes based on Audit Scotland guidance. 2) Clear procedures for communication in place in order to engage with Trade Unions and all staff across the College. 3) Developed procedures for staff engagement and negotiations. 4) Staff engagement session and staff surveys undertaken on regular basis allowing issues to be addressed early. 5) Local trade union consultation and negotiation committees in place for teaching and support staff and meet on an ongoing basis	3	3	**9**	Principal
10 was 9	3, 4,	**Failure to implement a systematic approach to workforce planning resulting in lack of appropriate resources and skills to achieve strategic priorities**	4	3	**12**	1) Internal working groups have been set up to develop College workforce Plan and associated reporting requirements. 2) Detailed teaching resource planning through use of curriculum mapping tool (CMAP). 3) Resourcing of support staff structures reviewed on an ongoing basis by Executive Management Team to ensure alignment with operational and strategic priorities. 4) Itrent HR and Payroll software developed to provide staff data and reports. 5) Professional Development Policies are aligned to strategic priorities. 6) Roll out of CPD review process now underway and supports succession planning, leadership development and assists in mitigating	3	3	**9**	VP Educational Leadership VP Operations
11 was 12	5, 6, 8, 11	**Inability to specify, deliver and effectively implement an approach to generation of alternative income**	3	4	**12**	1) Development of strong partnerships with local employers and stakeholders. 2) Operation planning process used to identify potential opportunities for income growth. 3) Adaption of course portfolio to meet student / employer needs. 4) Financial strategy and planning in place to address resource needs and redirect as required. 5) Review of resources required within Curriculum Development Planning procedure. 6) Annual financial target is agreed and monitored by the Corporate Development Committee. 7) Commercial Development Group reporting to Corporate Development Committee.	3	3	**9**	VP Corporate Development

Risk No.	Strategic Priority	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation			Executive Responsible
			Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	
12 was 11	1,2,3,11	Failure to invest sufficient resource (financial / staff) into delivery of College Carbon Management Plan (CMP) resulting in negative publicity and failure to achieve ROA outcomes.	3	3	9	1) Approval of CMP by Board of Management in October 2016 with this subsequently being submitted to SFC. 2) Specific resource - staff and funding - allocated to allow CMP to be implemented. 3) Development of Sustainability Group involving board, staff and student representatives. 4) Annual Scottish Government report on carbon management and wider sustainability issues now reported on for second year. 5) College on target to achieve objectives of CMP including 10% reduction in emissions.	2	3	6	VP Operations
13	11	Inability to ensure a holistic response to data and information governance, including compliance with the General Data Protection Regulations (GDPR).	3	3	9	1) External briefings provided to SMT on principles and practicalities of implementing GDPR. 2) Establishment of College working group on implementation of GDPR requirements. This group will have oversight of the information risk assessment process. 3) Update reports to SMT and OD&HR Committee on progress made. 4) Active engagement across the College to ensure collaborative approach to addressing issues raised. 5) Data Protection concepts and principles already embedded within the operations of the College. 6) Working with other Colleges to pool resources and minimise duplication of effort.	3	2	6	Principal
14	1, 3, 5, 8	Investment plans do not reflect future requirements. Sector and/or market expectations do not materialise or are markedly different resulting in changes to future delivery plans.	3	3	9	1) Developed environmental scanning process in place 2) Operational planning process in place linked to resource requests. 3) Detailed resource allocation process and ability to address ad hoc requests.	2	3	6	VP Educational Leadership VP Operations
15	1, 3, 5, 6	Normal business activities are unduly affected due to the complexity of sequencing estates investment works	4	2	8	1) Detailed resource planning involving all relevant parties at an early stage for project work undertaken. 2) Level of investment at a stage where no material impact on activities. 3) Knowledge base within current staff to be able to identify issues.	3	2	6	VP Operations

Risk No.	Strategic Priority	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation			Executive Responsible
			Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	
16	9, 10, 11	Failure to analyse and respond effectively to changes arising from ONS implications, inlcuding net depreciation and commercial insurance.	3	2	6	1) Participation in a number of sector working groups. 2) Established team and knowledge base to allow impact of changes to be assessed. 3) Developed budget / forecasting models have ensured financial resource an dreporting impacts have bene managed . 4) Methodology for use of funds arising from net depreciation now agreed with SFC and Scottish Government. 5) Further area of review still under consideration - commercial insurance derogation being considered by Scottish Government. WCS represented on sector Financial Directors group in order to provide input to these key areas of consideration.	1	2	2	VP Operations

STRATEGIC PRIORITIES

1. We will provide education and training in inspirational and innovative ways to engage and meet the diverse needs of our students.

2. Education and training will be delivered to students in high quality College facilities, in their place of work or through the development and use of digital technologies.

3. We will provide the highest quality of teaching and tailored support to maximise our students' opportunities to achieve success and progress to employment and further study.

4. We will support the development of our staff and teams to achieve successful outcomes for themselves, our students and the College.

5. We will develop our curriculum and services to ensure they align with and support Scotland's key economic sectors. We will ensure that our students are equipped with the relevant training, qualifications and essential skills they need for employment and life.

6. We will develop meaningful partnerships; connections and alliances with business and industry to ensure employers are directly involved and invest in educational and skills development across the west.

7. We will become a strategic resource and valued partner with our stakeholders, building relationships, leveraging resources and capabilities to design, develop and deliver our products and services.

8. We will proactively look for new partners and new areas of activity, which will allow us to grow and develop our income to reinvest in our core business for the benefits of our students, our staff and our communities.
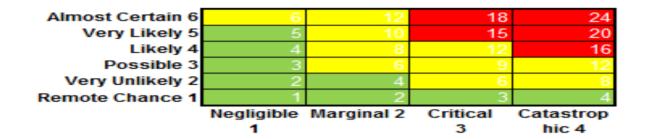
9. We will grow our reputation both nationally and internationally. Our reputation will be based on the quality of our teaching, outcomes four our students and our willingness to strive for and set the highest standards across all areas of our work.

10. We are committed to taking a leadership role in the West Region and together with our partners and stakeholders, tackle the significant social and economic deprivation, which still characterise many of our communities.

11. We will deliver a sustainable, effective and efficient service to our communities, through the implementation of sound governance, leadership, planning and management.

Probability	Score	Impact	Score
Almost Certain	6	Catastrophic	4
Very Likely	5	Critical	3
Likely	4	Marginal	2
Possible	3	Negligible	1
Very Unlikely	2		
Remote Chance	1		

Risks - Probability x Impact Score Grid

	Negligible 1	Marginal 2	Critical 3	Catastrophic 4
Almost Certain 6	6	12	18	24
Very Likely 5	5	10	15	20
Likely 4	4	8	12	16
Possible 3	3	6	9	12
Very Unlikely 2	2	4	6	8
Remote Chance 1	1	2	3	4

WEST COLLEGE SCOTLAND STRATEGIC RISK REGISTER 2017-18 (previous)

Risk No.	Strategic Priority	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation			Executive Responsible
			Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	
1	1,2,3,11	Impact of SFC funding changes including credits, European, ELS, student support and estates maintenance funding.	5	4	20	1) 2017/18 budget approved in conjunction with 5 year future financial scenario planning and detailed assumptions. 2) Robust forecasting including production and review of monthly management accounts. 3) Estates Strategy including objective to improve / rationalise the College estate utilising estate maintenance funding. 4) Commercial Development Group reporting to Corporate Development Committee with focus on ESF activity. 5) Robust monitoring of current and future curriculum delivery plans (CMAP) including staffing requirements. 6) Significant work undertaken to embed Workforce Planning into College operations / planning. Positive internal audit report highlighting solid base position. 7) On going discussions with SFC combined with modelling of financial and delivery scenarios. 8) Active College representation and involvement in external SFC review groups - Credit review, Access and Inclusion, Rural and remoteness Premium and Student Funding.	4	4	16	VP Operations / VP Educational Leadership
2	1,2,3,11	Failure to secure estates capital funding for future investment or refurbishment.	5	4	20	1) College Estate Strategy submitted to SFC, reviewed by internal audit and Year 1 implementation update provided to Board of Management Estates Committee. 2) Continued engagement with SFC regarding the basis of the funding methodology for the allocation of estate maintenance resource. 3) Participation in SFC/sector Capital Working Group. 4) Awaiting response from SFC of Outline Business Case for Greenock campus. 5) Submission of Outline Business Case for the future development of the Paisley campus. Awaiting feedback from SFC. 6) SFC have issued outcome of national estate condition survey. College looking to further engage with SFC as to direction of travel of survey results.	4	4	16	VP Operations

Risk No.	Strategic Priority	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation			Executive Responsible
			Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	
3	1,2,3,11	Business cases for development of estate are delayed, impacting upon ability of College to recruit students / retain staff.	5	4	20	1) The College continues to actively engage with SFC, SFT and other key stakeholders. 2) College Estate Strategy highlights required estate investment for consideration by SFC and Scottish Government. 3) Option Appraisal and Outline Business Case for College estate in Greenock and Paisley submitted to the SFC and formal response on next steps awaited. 4) Ongoing prioritisation of College estates funding in a way which links to priority projects, with update reports being provided to each meeting of the Board of Management Estates Committee. 5) Ongoing involvement in sector/SFC capital working group enables WCS input to ongoing discussions in relation to SFC estates maintenance allocation methodology and capital allocations. 6) Ongoing engagement with SFC in relation to national estate condition survey review.	4	4	16	VP Operations
4	3, 11	Impact and outcomes of National Pay Bargaining for both teaching and support staff	6	3	18	1) WCS representation and involvement in national college Employers Association and national joint negotiating committee (NJNC). 2) Financial impact assessment / planning scenarios with the financial impacts of National Bargaining under ongoing discussion with the SFC. 3) Business cotinuity Planning considers impact of industrial action, with specific plans in place. 4) Local trade union consultation and negotiating committees for support and teaching staff continuing to mete on an ongoing basis in order to maintain positive College industrial relations. 5) Robust college sector and WCS communication plan. 6) Local workforce planning arrangements subject to positive internal audit review (May 2017) - with a follow up review planned during 2018.	6	2	12	Principal
5	1, 3, 5, 6	The College is unable to meet student targets leading to a failure to deliver stated Regional Outcome Agreement (ROA) objectives.	5	3	15	1) Improving working relationships with local authorities and head teachers to enable access to attainment funding. 2) Continued engagement with SFC over likely impacts of "intensification of ROA objective monitoring" for current and future year delivery and funding. (3) Robust internal monitoring, tracking and reporting procedures in place, including through College operational planning process and ongoing monitoring through the Board of Management and sub-committees. 4) Detailed curriculum development planning and review process which has been subject to review by internal audit. 5) Blended approach to delivery of teaching and learning including distance and online learning allowing College to address changes in recruitment and delivery. 6) Curriculum offering is reviewed to ensure employer and student needs are met and appropriate courses delivered. /2018	4	3	12	VP Educational Leadership

Risk No.	Strategic Priority	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation			Executive Responsible
			Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	
6	2, 11	Inadequate business continuity / contingency planning	3	4	12	1) Internal audit report on Business Continuity Planning highlighted areas for development. Plans in place to action recommendations. 2) Internal audit have carried out IT security health check with aim of preparing the College to answer requirements of Governments Cyber resilience Strategy. Action plan in place to address recommendations made. 3) Incident response plan has been updated and communicated to all relevant staff. 4) Effective estate response procedures to incidents. 5) Adequate insurance cover to assist in recovery after an incident. 5) Risk assessment process well embedded at Strategic level now being further embedded at operational level. 6) Planned preventative maintenance regime in place including fire and intruder alarms. 7) Engagement of external consultancy support to assist with addressing requirements of cyber resilience action planning and implementation.	3	3	9	VP Operations
7	2, 9, 11	Unable to develop and commence implementation of an Estate Strategy that achieves the agreed criteria for size, quality, flexibility and carbon emissions	3	4	12	1) Estate Strategy 2016-2026 approved by Board of Management and submitted to SFC. 2) Improvements to infrastructure and equipment are actioned and updated annually based on funding available. 3) Minimise possibility of unplanned closures through regular maintenance of physical assets. 4) On going discussions with funders and other stakeholders to identify potential funding / development opportunities. 5) College wide condition survey work undertaken to assist with identification of areas of investment . 6) Internal audit review (May 2017) of Asset Management included positive review of work undertaken to develop and implement the College Estate Strategy 2016-26.	3	3	9	VP Operations
8	3, 4, 11	Inability to maintain positive staff relations	4	3	12	1) Internal audit report on Workforce Planning confirmed positive outcomes based on Audit Scotland guidance. 2) Clear procedures for communication in place in order to engage with Trade Unions and all staff across the College. 3) Developed procedures for staff engagement and negotiations. 4) Staff engagement session and staff surveys undertaken on regular basis allowing issues to be addressed early. 5) Local trade union consultation and negotiation committees in place for teaching and support staff and meet on an ongoing basis	3	3	9	Principal

Risk No.	Strategic Priority	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation			Executive Responsible
			Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	
9	3, 4,	Failure to implement a systematic approach to workforce planning resulting in lack of appropriate resources and skills to achieve strategic priorities	4	3	12	1) Internal working groups have been set up to develop College workforce Plan and associated reporting requirements. 2) Detailed teaching resource planning through use of curriculum mapping tool (CMAP). 3) Resourcing of support staff structures reviewed on an ongoing basis by Executive Management Team to ensure alignment with operational and strategic priorities. 4) Itrent HR and Payroll software developed to provide staff data and reports. 5) Professional Development Policies are aligned to strategic priorities. 6) Roll out of CPD review process now underway and supports succession planning, leadership development and assists in mitigating the impact of the loss of key staff. 7) Internal audit reviewed workforce planning as part of 2016/17 audit plan. Action plan developed to address recommendations made. Follow up audit of work carried out planned as part of 2017/18 work.	3	3	9	VP Educational Leadership VP Operations
10	2, 3	Failure to maintain or acquire and use IT systems and infrastructure to support strategic improvement in business and learning processes	4	3	12	1) IT Strategy, Policies / Procedures and system access processes in place. 2) Staff and student feedback and evaluation procedures in place. 3) IT Contingency Plan in place with regular review. 4) Embedded IT incident review process. 5) Development of College Digital Strategy with assistance from external organisations. 6) Development of funding bid based on above work for submission to SFC to ensure IT systems are fit for purpose into the 21st century.	3	3	9	VP Operations
11	1,2,3,11	Failure to invest sufficient resource (financial / staff) into delivery of College Carbon Management Plan (CMP) resulting in negative publicity and failure to achieve ROA outcomes.	3	3	9	1) Approval of CMP by Board of Management in October 2016 with this subsequently being submitted to SFC. 2) Specific resource - staff and funding - allocated to allow CMP to be implemented. 3) Development of Sustainability Group involving board, staff and student representatives. 4) Annual Scottish Government report on carbon management and wider sustainability issues now reported on for second year. 5) College on target to achieve objectives of CMP including 10% reduction in emissions.	2	3	6	VP Operations

Risk No.	Strategic Priority	Risk	Assessment pre mitigation			Mitigating Controls and Actions	Assessment post mitigation			Executive Responsible
			Risk Probability	Risk Impact	Risk Score		Risk Probability	Risk Impact	Risk Score	
12	5, 6, 8, 11	Inability to specify, deliver and effectively implement an approach to generation of alternative income	3	3	9	1) Development of strong partnerships with local employers and stakeholders. 2) Operation planning process used to identify potential opportunities for income growth. 3) Adaption of course portfolio to meet student / employer needs. 4) Financial strategy and planning in place to address resource needs and redirect as required. 5) Review of resources required within Curriculum Development Planning procedure. 6) Annual financial target is agreed and monitored by the Corporate Development Committee. 7) Commercial Development Group reporting to Corporate Development Committee.	3	2	6	VP Corporate Development
13	11	Inability to ensure a holistic response to data and information governance, including compliance with the General Data Protection Regulations (GDPR).	3	3	9	1) External briefings provided to SMT on principles and practicalities of implementing GDPR. 2) Establishment of College working group on implementation of GDPR requirements. This group will have oversight of the information risk assessment process. 3) Update reports to SMT and OD&HR Committee on progress made. 4) Active engagement across the College to ensure collaborative approach to addressing issues raised. 5) Data Protection concepts and principles already embedded within the operations of the College. 6) Working with other Colleges to pool resources and minimise duplication of effort.	3	2	6	Principal
14	1, 3, 5, 6	Normal business activities are unduly affected due to the complexity of sequencing estates investment works	4	2	8	1) Detailed resource planning involving all relevant parties at an early stage for project work undertaken. 2) Level of investment at a stage where no material impact on activities. 3) Knowledge base within current staff to be able to identify issues.	3	2	6	VP Operations
15	1, 3, 5, 8	Investment plans do not reflect future requirements. Sector and/or market expectations do not materialise or are markedly different resulting in changes to future delivery plans.	3	3	9	1) Developed environmental scanning process in place 2) Operational planning process in place linked to resource requests. 3) Detailed resource allocation process and ability to address ad hoc requests.	2	3	6	VP Educational Leadership VP Operations
16	9, 10, 11	Failure to analyse and respond effectively to changes such as ONS implications, net depreciation / resource impact, year end and insurance	3	2	6	1) Participation in a number of sector working groups. 2) Established team and knowledge base to allow impact of changes to be assessed. 3) Developed budget / forecasting models. 4) Further areas of review expected - commercial insurance and allocation of cash arising from net depreciation - WCS represented on sector Financial Directors group in order to provide input to these key areas of consideration.	1	2	2	VP Operations

STRATEGIC PRIORITIES

1.   We will provide education and training in inspirational and innovative ways to engage and meet the diverse needs of our students.

2.   Education and training will be delivered to students in high quality College facilities, in their place of work or through the development and use of digital technologies.

3.   We will provide the highest quality of teaching and tailored support to maximise our students' opportunities to achieve success and progress to employment and further study.

4.   We will support the development of our staff and teams to achieve successful outcomes for themselves, our students and the College.

5.   We will develop our curriculum and services to ensure they align with and support Scotland's key economic sectors. We will ensure that our students are equipped with the relevant training, qualifications and essential skills they need for employment and life.

6.   We will develop meaningful partnerships; connections and alliances with business and industry to ensure employers are directly involved and invest in educational and skills development across the west.

7.   We will become a strategic resource and valued partner with our stakeholders, building relationships, leveraging resources and capabilities to design, develop and deliver our products and services.

8.   We will proactively look for new partners and new areas of activity, which will allow us to grow and develop our income to reinvest in our core business for the benefits of our students, our staff and our communities.

9.   We will grow our reputation both nationally and internationally. Our reputation will be based on the quality of our teaching, outcomes four our students and our willingness to strive for and set the highest standards across all areas of our work.

10. We are committed to taking a leadership role in the West Region and together with our partners and stakeholders, tackle the significant social and economic deprivation, which still characterise many of our communities.

11. We will deliver a sustainable, effective and efficient service to our communities, through the implementation of sound governance, leadership, planning and management.

Probability	Score	Impact	Score
Almost Certain	6	Catastrophic	4
Very Likely	5	Critical	3
Likely	4	Marginal	2
Possible	3	Negligible	1
Very Unlikely	2		
Remote Chance	1		

Risks - Probability x Impact Score Grid

	Negligible 1	Marginal 2	Critical 3	Catastrophic 4
Almost Certain 6	6	12	18	24
Very Likely 5	5	10	15	20
Likely 4	4	8	12	16
Possible 3	3	6	9	12
Very Unlikely 2	2	4	6	8
Remote Chance 1	1	2	3	4