GLASGOW KELVIN COLLEGE - College/Strategic Risk Register

Appendix 1

Board / Committee	
Prepared by: Jeanette Evans/Lisa Clark	
Contact Name and Tel. No.:	

						INHERENT ASSESSMENT					RESIDUAL ASSESSMENT										
Risk Ref No	Date Identified	Risk Title	Risk Description	Risk Owner	Responsible Person	IL	II	IR	IR	Controls and Mitigating Actions	RL	RI	RR	RR	Risk Appetite Category	Risk Appetite	Risk Treatment Approach	Date Reviewed	Movement in Period	Early Warning Mechanisms, Planned Next Steps & Future Action Required	Date of Next Review
1	04/11/2021	SFC Review	**RISK:** Being forced into position that is against our vision & mission, or reduces community engagement, e.g. A single governing body for Glasgow **CAUSE:** Failure to project a clear GKC identity or vision; failure to proactively engage in review; other voices are louder / stronger; or poor operating performance. **EFFECT:** Lose local autonomy; unable to meet local community needs; GKC identity is lost; loss of social footprint; loss of staff.	Principal & CEO / Chair	Vice Principal - Curriculum	4	5	20	**Very High**	1. Engagement with GCRB, SFC, Scot Gov, & UK Gov 2. Political engagement with local & national politicians 3. Engagement about possible models with other colleges 4. Board understanding & support 5. Identified forums where we can share our vision 6. Direct community engagement 7. Improved operating position & management of performance 8. Identified awards & other opportunities to raise profile 9. Interaction with Scot Gov officials 10. Operational collaboration projects with other colleges 11. New website launched to showcase the College to stakeholders. 12. Communications and Marketing Framework established and approved with work commenced.	3	4	12	**High**	1. Policy	Cautious	Treat	30/01/2024	↔	**Early Warning Mechanism** 1. Outcome of consultants options appraisal 2. Ministerial responses / statements from Scot Gov 3. Performance Monitoring 4. GCRB Comms **Actions Planned** 1. Develop a college strategy for stakeholder consultation 2. Improving recruitment & student outcome performance 3. Continuing to influence GCRB decision making 4. Identify opportunities to collaborate	
~~2~~	~~04/11/2021~~	~~GKC Identity~~	~~**RISK:** Lack of understanding or awareness of the critical part GKC plays in communities; don't communicate USP~~ ~~**CAUSE:** Do not proactively promote identity, successes & uniqueness of GKC; ineffective comms on identity & successes; failure to illustrate impact we have; underinvestment in marketing / messaging.~~ ~~**EFFECT:** Weak employer engagement; students choose another college; affects risk no. 1~~	~~Vice Principal - Operations~~		~~4~~	~~4~~	~~16~~	~~**Very High**~~	~~1. New website launched.~~ ~~2. New internal & external comms & marketing framework developed and work progressing.~~ ~~3. Actively seeking to promote successes~~ ~~4. Faculties using own social media~~ ~~5. Investment in marketing resource~~ ~~6. Employer engagement activity~~ ~~7. Awards - putting forward GKC~~ ~~8. Community Engagement, e.g. Hub~~ ~~9. Digital strategy / My Kelvin~~ ~~10. Brand refresh involving external agency - Stand - to enhance the student leadership profile.~~ ~~11. Brand strategy/distinctive strategy and consistency of brand use internally and externally.~~ ~~12. Press exposure and competition placements.~~ ~~13. Raising and re-establishing of brand strategy - work ongoing.~~ ~~14. Mechanism in place for effective social media i.e. social media will be measured by channel (IG/Facebook/Linkedin etc), suitability of content, impact on followers and also engagement by these followers. Impact on course web page visits and application where content is specific to curriculum areas.~~ **ALL OF ABOVE HAS BEEN IMPLEMENTED AND IS OPERATING WELL. THIS RISK CAN NOW BE REMOVED.**	~~1~~	~~1~~	~~1~~	~~**Low**~~	~~2. Reputation~~	~~Minimalist~~	~~Treat~~	~~30/01/2024~~	↓	~~Early Warning Mechanism~~ ~~1. Negative publicity~~ ~~2. Poor recruitment figures~~ ~~Actions Planned~~ ~~1. Further resource in place for Comms & Marketing.~~ ~~2. Strategic Priority to raise profile~~ ~~3. Campus Project~~ ~~4. Comms & Marketing Framework review~~ ~~5. Ongoing press exposure and brand awareness raising.~~ **ALL OF THE ABOVE HAS BEEN IMPLEMENTED AND IS OPERATING WELL.**	

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3	04/11/2021	People	**RISK:** Not having agile, motivated, well-informed, or appropriately skilled workforce **CAUSE**: Demographics of workforce; national bargaining; Notification of strike dates by EIS and notification of a ballot for strike action from UNISON - impact of strike action on employment relations; lack of / insufficient CPD; failure to attract talented individuals; failure to retain talented individuals; unable to predict needs of the future; affordability of job evaluation. Further loss of key staff/high number of staff through voluntary severance (set to continue for circa 3 more years) with the remainder left to manage service provision, increased workloads and negative impact on workforce leading to de-motivation, negative impact on service delivery and more staffing challenges. Losing staff due to better salaries elsewhere. **EFFECT**: Unable to compete with industry; staff ability to be innovative is restricted; unable to deliver curriculum in areas of student demand i.e. reduction in course offerings; morale; financial stability.	Dir. People and Culture		5	4	20	**Very High**	1. People Strategy. 2. Representation in employers association. 3. NJNC negotiator. 4. OD framework. 5. TU engagement. 6. RPA. 7. TRCC. 8. Recruitment & Retention Policies & Procedures. 9. Culture of empowerment. 10. 3 Year Rolling Budgets. 11. Focus on wellbeing/health. 12. Open communication. 13. Staff consultation on Voluntary Severance. 14. Comprehensive Organisational Development Programme in place. 15. Continuous Improvement Programme. 16. ~~Recruitment underway for key~~ HR OD Manager has been recruited. 17. Trialling of OD initiatives in Professional Development activities. 18. Continuous Improvement Group looking at ways of lean working.	4	4	16	**Very High**	5. Workforce	Cautious	Treat	30/01/2024	↔	**Early Warning Mechanism** 1. Staff turnover 2. Absences 3. HR Heatmap **Actions Planned** 1. Workforce Planning 2. Upgraded HR System.	
4	04/11/2021	Litigation / Compliance	**RISK:** Non-compliance with key legislative or regulatory requirements including COSHH **CAUSE:** Lack of awareness, understanding or training & development; poor compliance with established processes; not keeping up to date with changes in case law. **EFFECT:** Possible fines & litigation; reputational damage; implications for board accountability.	Dir of Estates and Corporate Services / & Dir People and Culture / H&S Manager		4	4	16	**Very High**	1. Policies & procedures 2. Members of national groups to keep aware of developments & upcoming changes. 3. Horizon scanning for changes to legislation or regulations. 4. Legal advice. 5. CPD programme. 6. Staff training. 7. Internal & external audit programme provides assurance. 8. External DPO. 9. Liaison as required with College insurance. 10. Consistency of Risk Assessments with enhanced process. 11. Audits conducted and good feedback reports provided. 12. Cyber Awareness training. 13. Phishing campaigns.	1	3	3	**Medium**	7. Legal & Compliance (including Health & Safety risks)	Averse	Treat	30/01/2024	↔	**Early Warning Mechanism** 1. Horizon scanning 2. HR Heatmap 3. Compliance metrics 4. Accident/Incident database **Actions Planned** ~~1. All departments and faculties directed have correct to conduct reviews of their COSHH inventories/storage.~~ ~~2. Deadline for legally mandated training refreshers brought forward.~~ ~~2. WorkRite COSHH module made available to additional staff.~~ ~~4. Six respirators ordered to enhance any future emergency response.~~ ~~5. Audits conducted.~~ ~~6. Cyber awareness training~~ 1. All departments and faculties directed to conduct routine COSHH audits. 2. Routine Occupational Health Surveillance 3. Quarterly Safety Inspections 4. Update / refresh of Cyber awareness training, staff to undertake every two years 5. Review of individual WorkRite	

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5	04/11/2021	Curriculum Relevance	**RISK:** Curriculum doesn't meet current or future needs of students, employers, or community partners, or the economy. The curriculum becomes not relevant as the College shrinks and changes and options reduce accordingly. **CAUSE**: Ageing workforce; lack of curriculum innovation; staff knowledge & expertise; People risk (Risk No. 3); employer engagement; outdated or lack of resources; unreliable information / data; growth of digital teaching / you tube. **EFFECT:** Diminishing recruitment; reputation; student achievement; ~~reputation~~.	Vice Principal - Curriculum		5	4	20	**Very High**	1. Curriculum reviews 2. Improved Staff training / CPD 3. Emp engagement 4. Schools engagement 5. Partners - HE 6. Labour market intelligence 7. Staff structures / PDR 8. Industry bodies 9. Student feedback 10. Collaboration with partners & colleges 11. Digital transformation 12. HN Next Generation 13. Quality improvements being rolled out. 14. More non modular/non SQA content at FE level to reflect the needs of the economy and of the students. 15. Teaching OD Initiatives. 16. Trying to be judicious on what curriculum/subjects we cut. 17. Management day for curriculum and quality assurance.	3	3	9	**High**	6. Student Experience	Open	Treat	30/01/2024	↔	Early Warning Mechanism 1. Recruitment & retention of students 2. Emp & student feedback 3. Success rates 4. HN Next Generation Monitoring Actions Planned 1. Strengthen CPD for staff 2. Strengthen Curriculum review 3. Digital / blended development 4. Targeted employer engagement 5. Creation of Centres of Excellence 6. Green Kelvin ~~7. Management day for curriculum and quality assurance.~~	
6	04/11/2021	Sustainable Funding	**RISK**: Inability to secure appropriate levels of funding to deliver objectives/Foundation Apprenticeship arrangements changed, FWDF funding reducing year-on-year, credit reduction for AY 23/24, inflation high, energy prices soaring. **CAUSE**: constraints of current funding structures & levels; budget cuts; Scot Gov / SFC funding models; constraints in public finances; non-compliance; SFC mid-year budget review. Reduction of College Credits by 10% will have a significant impact on Glasgow Kelvin College. **EFFECT:** loss of income; inability to deliver financially sustainable budgets; med-long term sustainability at risk; impact on curriculum delivery; job losses	Vice Principal - Operations		5	5	25	**Very High**	1. 3 year budgets 2. Management accounting & budgetary control 3. Quarterly budgets & forecasting 4. TRCC 5. Compliance framework - review, monitor & control of funding obligations 6. Annual internal audit programme 7. Funding support offered from Business Development Team or via external individual. 8. Underlying cash position to agreed levels. 9. Operating Plan - work ongoing. First year reductions achieved. Reduction in circa 89 FTE anticipated and college reducing by circa 21%. 10. Environmental capital items will reduce energy costs in due course. 11. Mitigating plans were put in place for the loss/freeze of FWDF money. THis money had not been accounted for in the budget. 12. Transition of staff into other areas.	4	5	20	**Very High**	3. Financial	Cautious	Treat	30/01/2024	↔	**Early Warning Mechanism** 1. Negative variances 2. Quarterly reviews 3. Budget reviews 4. Nov SFC Nov cut-off 5. Credit delivery levels. **Actions Planned** 1. Enhancing business intelligence on funding streams 2. Depleting ALF (with Trustee approval taking due cognisance of OSCR) 3. Curriculum planning 4. Identify alternative funding streams/Business Development Ambitions 5. Engagement with MSP's and other stakeholders to foster support for the College. 6. Workforce Planning	

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7	04/11/2021	Student Experience	**RISK:** Poor student experience **CAUSE:** Poor physical environment; quality of teaching; lack of teaching skills or resources; lack of support services, impact of industrial action, impact of Action Short of Strike Action and ~~impact on behaviours and skills due to the pandemic impact of COVID/long COVID on absence rates.~~ The curriculum becomes not relevant as the College shrinks and changes and options reduce accordingly. **EFFECT:** Impact on retention of students; reputational damage among possible future students; financial instability; performance outcomes affected; relationship with employers; failure to deliver Government ambitions	Vice Principal - Curriculum		4	4	16	**Very High**	1. Curriculum quality assurance 2. Quality framework 3. Curriculum Planning 4. Student feedback 5. Engagement with Student association 6. Learning & support services/in campus services 7. CPD for staff 8. Investment in estate 9. Planned & routine maintenance 10. Operational planning process has Student Engagement at heart 11. GTCS Strategy 12. Freshers Week. 13. Positive feedback from completed campus re-investment project. 14. Mental health councillors currently in place - continued funding at present.	3	3	9	**High**	6. Student Experience	Open	Treat	30/01/2024	↔	**Early Warning Mechanism** 1. Student numbers metrics 2. Student destination **Actions Planned** ~~1. Campus Re-investment Project - nearing completion.~~ 1. Retention improvement plan 2. Quality system review & development 3. Business Intelligence reporting & monitoring 4. Learner engagement 5. GTCS Strategy 6. Student Association Questionnaires/Feedback and addressing any complaints	
8	04/11/2021	Environment	**RISK:** College fails to meet targets in relation to sustainability, e.g. Net Zero **CAUSE**: Lack of resources to implement; lack of skills to implement; sustainability is not embedded within curriculum; cannot access funding; limited by pace of industry **EFFECT**: Do not meet targets; impact on future generations; reputation with students, future students, community & government affected	Vice Principal - Operations / Director of Corporate Services		4	3	12	**High**	1. Public Sector Climate Change Report completed annually. 2. Funding to recruit Environmental Manager secured from the SCIO for 2 years. 3. Individual has commenced employment. 4. Environmental Manager raising environmental awareness & access funding streams. 5. Green Kelvin imitative is a key strategic priority. 6. Awareness raising activity paramount. 7. Race to Zero Action Plan Produced and being actioned. 8. Climate Change Action Plan produced and being actioned. 9. Environmental Internal Audit. 10. Powering down of PC's each evening. 11. SFC Infrastructure Strategy being worked through with key College staff. 12. Funding applications - being submitted and award of £2.6m received for sustainable funding initiatives over 2 years - 6 projects approved. 13. Project Manager appointed to oversee £2.6m project which has now commenced.	3	3	9	**High**	8. Environmental Sustainability	Minimalist	Treat	30/01/2024	↔	**Early Warning Mechanism** 1. PSCC metrics **Actions Planned** 1. Environmental Manager working with all departments on various initiatives including progressing the Race to Zero Action Plan and the Climate Change Action Plan. 2. Implementation of Green Kelvin action plan 3. CPD 4. Curriculum changes 5. Funding sources being explored. 6. £2.6m spent on sustainable projects to reduce energy costs and carbon emissions - 2 year project.	
9	04/11/2021	Digital Transformation	**RISK:** Inability to deliver Digital Transformation Strategy & Programme **CAUSE:** Lack of resources to implement; lack of skills to implement; user skills insufficient; poor change or project management **EFFECT:** Reputation with students & staff affected; operational effectiveness reduced; student experience deteriorates	Vice Principal - Curriculum / Director of Digital Services		4	4	16	**Very High**	1. Strategy & Programme 2. Staffing structure to support delivery 3. Increased resources to implement 4. Staff training & awareness 5. New software 6. Website tendering 7. Increased devices available to staff & students 8. Programme management / governance 9. Cyber Essentials. 10. Cyber Internal Audit. 11. Continuous Improvement Group - work ongoing. 12. AI Working Group now in place.	2	3	6	**Medium**	4. Digital	Cautious	Treat	30/01/2024	↔	Early Warning Mechanism 1. Missed deadlines / milestones Actions Planned 1. Implementation of programme: further development of business intelligence for learning & teaching development 2. Continuation of staff training 3. Use of automation and leveraging using of AI.	

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10	04/11/2021	Student Recruitment & Retention	**RISK:** Fail to Recruit or Retain Sufficient students or learners **CAUSE:** Effectiveness of admissions process; monitoring of information; lack of identity; ineffective marketing; curriculum offer does not meet student needs, finances of students extremely stretched - travelling to College/eating/heating priorities all conflicting. Employment opportunities available. Various internal/external factors creating an unprecedented situation including universitas dropping entry levels. **EFFECT:** Students do not get access to quality learning & teaching; class sizes are not sustainable; reduced funding; additional expenditure; COVID-19 mental health challenges; impact on PI's/success rates, FE risk, cause/effects of COVID-19 ongoing.	Vice Principal - Curriculum		5	4	20	**Very High**	1. Admissions process 2. Marketing 3. Monitoring attendance & performance ~~4. Wellbeing Lead appointed to engage with student body.~~ 4. Wellbeing Officer appointed. 5. Keep warm events/Freshers Week. 6.Feedback sought from students who have left course early to ascertain why. 7. Student Funding Systems - Process Review. 8. Consolidation of College portfolio to assist with recruitment. 9. Quality processes improved. 10. Change to SGC calculation to retention 11. Campus Re-investment Project almost Completed. 12. National Equality Outcome in place - tackling persistent inequalities.	3	3	9	**High**	6. Student Experience	Cautious	Treat	30/01/2024	↓	**Early Warning Mechanism** 1. Student recruitment metrics 2. Drop out metrics **Actions Planned** ~~1. Campus Re-investment Project - almost fully complete.~~ 1. Student focussed teams.	
11	04/11/2021	Cyber Risk	**RISK:** A widespread cyber-attack breaches college defence **CAUSE:** A malicious breach of college systems possibly caused by: user error / lack of training or education; lack of patch management; failure of perimeter security; poor development practices; lack of investment in protection **EFFECT:** Loss of business critical systems; college reputation damaged / loss of credibility; impact on individual people (data subjects); possible fines or litigation; cost to repair or restore; impact on students / student experience	Vice Principal - Curriculum / Director of Digital Services		5	5	25	**Very High**	1. Automated patch management. 2. Mandatory training for all college employees. 3. Firewall & DNS protection. 4. MFA (multi-factor authentication) controls. 5. Safelinks. 6. Information security policy. 7. Anti-virus & malware scans. 8. Development frameworks. 9. Knowledge sharing with peers. 10. Cyber security insurance. 11. Disaster Recovery / Business Continuity Plan in place - including backups. 12. Crisis comms training attended on cyber attacks. 13. Cyber risk register. 14. Upgrading SUN accounts. 15. Annual Systems Penetration Testing. 16. Insurance refreshed.	3	4	12	**High**	2. Reputation	Minimalist	Treat	30/01/2024	↔	Early Warning Mechanism 1. Monitoring of key systems performance & availability 2. Log management / monitoring 3. Monitoring of open source cyber intelligence, websites etc. Actions Planned 1. Regular phishing campaigns to be rolled out. 2. Workrite Cyber Security Module for staff to be repeated every two years.	
12	13/12/2021	Infection Controls/Future Pandemics/COVID-19 - Ongoing Implications	**RISK:** Ongoing negative impact of COVID-19 ~~on all aspects of College operations~~ and potential future pandemics. **CAUSE:** COVID/Long COVID causing higher/ongoing levels of staffing absence due to illness. Staff members at work feeling under increased pressure. Individuals (students and staff) living in a constant state of fear for circa 2 years has resulted in mental health deterioration/issues and behavioural issues related to anxiety/lack of confidence. Return to study/work/hybrid model has caused feelings of unease. **EFFECT:** Loss of business, reduced student learning experience, higher than normal drop out rates/absence; many students cannot afford to come to College and are taking up employment opportunities; confidence	Principal & CEO / Chair		3	3	9	**High**	1. Hybrid model of working established. 2. Cleaning regime remains in place throughout the campus buildings. 3. Social distancing ended. 2. Rooms ventilated if at all possible; upgrade to ventilation system at Springburn Campus. 3. Ventilation meters installed throughout the campus buildings which alert if CO2 emissions are high.CO2 monitors installed throughout campus to monitor levels; action taken where high readings noted. 4. Anti-virus hand sanitiser and wipes available across the entire campus on request. 5. Masks available if requested. 6. Wellbeing high on the agenda for the College student and staff population. 7. Public Health (Scotland) guidance followed for symptomatic positive individuals. 8. Review of college COVID 'lessons learned' to be incorporated in Business Continuity Plan.	2	2	4	**Medium**	1. Policy	Cautious	Treat	30/01/2024	↔	Early Warning Mechanism 1. Monitoring of Scottish Government messages on pandemics/future anticipated pandemics. 2. Management/monitoring of staffing situations 3. Monitoring of positive test cases/health issues Actions Planned 1. Keeping abreast of Scottish Government's guidance 2. Keep a close watch on staffing levels and cover required 3. Review of Circular 120 - Colleges Approach to COVID.	

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13	19-Apr-22	Industrial Action/ Action Short of Strike Action	**RISK:** Negative impact of teaching/support staff industrial action in relation to pay rates/freezes on students coupled with action short of strike action (marking of assessments) with an additional threat of support staff industrial action to follow. **CAUSE:** ~~Teaching~~ College staff are requesting a better pay offer than they have received. This is a national matter and is being handled at a national level. **EFFECT:** Very negative impact on students who are only beginning to return to on-campus teaching. Lack of confidence in Colleges to provide the FE Training they require as strike action is an ever present threat and has been for many years. Drop out rates increase which has a negative effect on funding and PI's. Opportunity for HE institutions to deliver course requirements. Strike action could have a very detrimental effect on the sector as a whole. Students may submit a "failure to educate" claim. Failure to certificate causing problems with people progressing.	SMT (national matter)	This is a national matter.	5	4	20	**Very High**	1. Principal and Director of People and Culture involved in national talks. 2. Meetings taking place at national level to attempt to resolve the situation. 3. Monitoring of impact on teaching delivery and identification of potential mitigations for lost learning. 4. College staff offering whatever help they can to students. 5. Letters of Comfort sent to universities - work ongoing following liaison at VP level. 6. Liaison with UMAL on potential failure to educate claims - this is a national matter. 7. College buildings remain open for student use on strike days. 8. ~~ASOS stopped. College teaching staff now resulting students.~~ ASOS will be recommencing rom 12 February 2024 to 15 July 2024 for EIS members. 9. The College, along with the majority of Colleges in Scotland, has reminded Teaching staff that non resulting of students is a breach of contract and may result in a deduction of salaries.	4	4	16	**Very High**	6. Student Experience	Open	Treat	30/01/2024	↑	Early Warning Mechanism 1. Monitoring of Scottish Government/national Employer Association messages. 2. Senior management attending Employer Association meetings as required. 3. Principal and Director of HR involved in national discussions. 4. Monitoring staff participation levels in strike activity. Actions Planned 1. Keeping abreast of all related documentation/discussions. 2. Keep a close watch on effect on student population and identify potential mitigations to recover lost learning. ~~3. Graduation Event Planned for February 2024.~~ ~~3. Concerted effort being made to get any outstanding results in before ASOS come into effect.~~	
14	25-Apr-23	Artificial Intelligence	**RISK:** Negative impact of students using ChatGPT or other AI means to undertake study/course work and assessments. **CAUSE:** AI work produced is difficult to identify even by using plagiarism software. Teaching staff cannot therefore identify AI work from student's own work. **EFFECT:** Very negative impact on the learning of students who may begin to rely on an AI system doing the work which leads to the inability to put into practice their learning and hone skills. Risk to future job market and way of life in general predicted which is difficulty to quantify at present. Job applications being prepared by AI systems.	SMT	This is a national/ world matter.	5	5	25	**Very High**	1. This matter is being discussed in the sector and is a concern for all. 2. Positive impact of AI being explored. 3 Very negative impacts of AI being explored and understood. 4. Turnitin (plagiarism software) has AI detection built in. 5. HR recruitment systems and processes will need to ensure candidates can do what is stated in forms. 6. AI Working Group has now been put in place.	4	4	16	**Very High**	Student Experience and People	Cautious	Treat	30/01/2024	↔	**Early Warning Mechanism** 1. Monitoring of AI technologies. 2. Liaison with security contractors and sector colleagues. 3. Liaison with plagiarism software companies. 4. Monitoring of student interaction if possible with AI technologies. 5. Mismatch in style of work expected from students. **Actions Planned** 1. Keeping abreast of all related documentation/discussions. 2. Keep a close watch on effects of AI technologies.	