

Board of Management Learning & Teaching Committee

Date of Meeting	Tuesday 5 November 2019
Paper No.	LTC1-D
Agenda Item	6
Subject of Paper	Strategic Risk Review
FOISA Status	Disclosable
Primary Contact	Paul Clark, College Secretary/Planning
Date of production	29 October 2019
Action	For Approval

1. Recommendations

1. To note the review of strategic risks as relevant to the Committee's remit.
2. To review and approve the Risk Scores and Risk Management Action Plans associated with these risks. The Committee may wish to consider increases to some risk scores reflecting concern over impending industrial action.

2. Purpose of report

2.1 The purpose of this report is to provide the Committee with an update on the Senior Management review of strategic organisational risks relating to the Committee's remit, via the Risk Management Actions Plans (MAPs) for these risks. Also included is the current Risk Register.

3. Context

3.1 Risk Management is a key component of the College's internal control and governance arrangements, and as such is an important responsibility of the Senior Management Team, and the Board of Management. The current strategic risks have been identified by SMT and the Audit Committee, as the primary strategic risks currently faced by the College. The risks are aligned within the same framework of strategic themes as the College Strategic Plan. The risks included in the Risk Register have potential impacts on one or more of the College's strategic priorities.

3.2 In line with recommended good practice as identified by the Internal Audit of Risk Management in 2013/14, each Board Committee has since undertaken a regular review of the strategic risks within its remit.

3.3 The Risk MAPs for the following risks are appended for consideration:

- Risk 1 - Failure to support successful student outcomes (Score 10, Amber).
- Risk 2 - Failure to establish optimal pedagogical model (Score 5, Green).
- Risk 3 - Failure to achieve good student outcome/progression levels (Score 10, Amber).

3.4 The strategic context for these Risks is the delivery of the College's strategic aims associated with "Students" Strategic Theme, and in particular the undernoted Strategic Priorities and associated aims within the College Strategic Plan 2017-2025:

- To be an inspirational place of learning
- To enable individuals to excel and realise their full potential

3.5 The Risk Management Action Plans (MAPs) for the above risks are attached at Appendix 1, and provide more detailed descriptions of the risks, treatments, and commentaries.

3.6 Further updates will be provided at the meeting.

4. Impact and implications

4.1 The effective management and control of risks is essential to the on-going stability and future growth of the College, with clear implications in terms of potential impact upon College students and staff, as well as the College's wider reputation and legal compliance status.

4.2 Several strategic risks are financial in nature, and potentially constitute a threat to the College's stated strategic priority to "Maintain our long-term financial stability".

4.3 Regional and sectoral considerations are included in the process of risk management, and are reflected in the risk documentation.

Appendices:

Appendix 1: Risk Management Action Plans

Appendix 2: Risk Register

Risk Management Action Plan

Risk Description: Failure to support student success

Risk ID: 1

Owned by: VPSE

Review Date: Sept 2019

Update

Full Description:

Risk that -

Students leave the College without completing course. Students fail to achieve qualification. Students have a poor experience at the College. College suffers negative financial impact, reputational damage, and potential negative impact upon student recruitment.

Treatment:

Performance Reviews; Self-evaluation/Quality cycle; Curriculum Planning (incl. focus upon PIs); Student Experience Strategy.

Commentary (Update):

Education Scotland Review completed January 2016. Overall a highly positive response reflects the upward trend in student attainment.

Student Experience Strategy has been developed and a number of initiatives have been taken forward as part of it implementation. City Learning 4.0 is one of these initiatives and will be embedded in all Operational Plans at Curriculum Head and Faculty level.

Curriculum planning processes have been further refined to include criteria for course discontinuation to ensure courses meet student/industry demand, reflect College and regional curriculum strategic priorities, and financial viability.

Student success from 2016/17 to 2017/18 indicates a slight decline in PIs. It is anticipated that this decline in some of our PIs will be mirrored by the Scottish college sector. The table below identifies the College's 6 year trend: -

Level	Mode	Completed Successfully						Change	Change
		12-13	13-14	14-15	15-16	16-17	17-18*	16-17 to 17-18	12-13 to 17-18
FT	FE	60%	70%	72%	72%	69%	68%	-1%	+8%
FT	HE	70%	74%	76%	76%	74%	74%	0%	+4%
PT	FE	68%	75%	77%	87%	88%	87%	-1%	+19%
PT	HE	76%	84%	83%	81%	83%	82%	-1%	+6%

**Ref: SFC Audited figures*

Each College Faculty has developed an action plan in 2017/18 to address low PI courses and the plans are being monitored against performance targets through the Performance Action Group (PAG). Faculty action plans are under review at the Student Experience Leadership Group to monitor Faculty improvement plans.

Action has been identified as part of the PAG Group to target partial success (live students that currently have failed units which prevent them gaining their qualification). Faculties have identified resources required to mitigate partial success. A number of actions have been identified by the PAG group through scrutiny of low PI courses which will lead to performance improvement.

The output of the PAG group was presented to SMT and it was agreed that Deans and ADs would remove/revise their portfolios focusing on where courses have low attainment in line with the Performance Improvement proposal to the Board on the 14th March 2019. Removal/revision of courses by Deans and ADs will take place between March and curriculum planning meetings in November 2019. It was further agreed that actions plans, by CHs, would be put in place at an early point in academic year 2019/20 for all course below the national sector performance and that there would be a clear academic guidance process put in place by ADs.

It should be noted at this time (April 2019) that further teaching staff industrial action is planned and the EIS have asked staff to withhold student results from College systems. The availability of student results information is critical in being able to determine which students need support.

29 May 2019:

The Student Staff and Equalities Committee reviewed this risk MAP in the light of the current position regarding negotiations with EIS/FELA, and the management actions taken in mitigation of the risk impacts of further industrial action. It was noted that all student data, including results, are in the ownership of the College, and that steps would be taken to record these results appropriately. Following due consideration, the risk score remained unchanged.

September 2019:

The College is currently preparing for the Scottish Funding Council credits and performance audit of academic year 2018/19. During 2018/19 teaching staff engaged in 3 types of action - 6 days of strike action, withdrawal of goodwill and withholding of results from College systems. The College sought to mitigate the impact of the 3 actions by extending the academic block and where possible providing re-assessment opportunities; however due to results being withheld this made planning of re-assessment events difficult. Early indicators of 2018/19 performance indicators suggested these actions impacted negatively on student success and in particular the management of partial success (i.e. students who require re-assessment).

Current Risk Score:	Gross Risk Score (assuming no treatment)
Likelihood 2/5 Impact 5/5 Risk Score 10/25 RAG Rating: AMBER	Likelihood 5/5 Impact 5/5 Risk Score 25/25
Target Score: 5	

Risk Appetite (Willing to accept):	Risk Tolerance (Able to accept):
<u>Low</u> Medium High	Category: Student Experience Low <u>Medium</u> High 1 2 3 4 5 6

Impact	5	10	15	20	25
	4	8	12	16	20
	3	6	9	12	15
	2	4	6	8	10
	1	2	3	4	5
x	Likelihood				

Risk Management Action Plan

Risk Description: Failure to establish sector leading pedagogical model

Risk ID: 2

Owned by: VPSE

Review Date: September 2019

Update

Full Description:

Risk that learning and teaching approaches fail to meet the needs of learners and other stakeholders (including employers) in the context of the new campus. There should be an evidence base for “sector-leading” (Agreed by L&TC, Nov 2017).

Treatment:

Curriculum Review and Development processes. Student Experience Strategy (incl. City Learning/ Industry Academies). Faculty Operational Planning.

Commentary (Update):

The Regional Curriculum and Estates Review process has been completed and is now operational, supporting key government priorities. Annual Curriculum Plans being developed in partnership with Glasgow colleges, in alignment with the Regional Outcome Agreement. Regional Curriculum Hubs ensure that the curriculum portfolio is annually refreshed to reflect this position. In line with ministerial guidance, a joint regional curriculum planning model commenced in academic year 18/19. A five step review process will be carried out in collaboration with SDS, SFC and the three assigned colleges.

City Learning 4.0, the refreshed City Learning model, was implemented in November 2017 and has been embedded within Faculty Operational Plans. Work was undertaken in supporting Faculties to adopt City Learning 4.0. A suite of KPIs for City Learning 4.0 was developed and featured as part of a suite of Faculty targets being implemented in 18/19.

24 Industry Academies were operational in 2015/16, exceeding the target of 18; these are now under review within the Performance Review process, and reporting on their output is now available via College dashboard. The new Faculty structure will support the mainstreaming of Industry Academies into all 100 curriculum teams; but discussions about how best to support and boost the development of IAs further are underway.

The Centre of Technical and Professional Education (COPTe) was established and the team developed a three-year work plan with the initial area of focus being City Learning 4.0. After a number of false starts, interviews for the role of Associate Director, COPTe, have been scheduled for Wednesday 18 September 2019. It is expected that the new VPSE, when appointed, and the AD COPTe, will undertake a review of City Learning 4.0 as a matter of priority. In addition, interviews for the role of Head of Digital Skills will also take place before the end of September. This role will lead on the development of the digital capabilities of our staff and students, and will be central to establishing a sector- leading pedagogic model for the College.

The Student Experience Strategy and its three key initiatives; Widening Access, Student Partnership Agreement and City Learning 4.0 are well underway. There are measurable outputs for all three strands.

Current Risk Score:	Gross Risk Score (assuming no treatment)
Likelihood 1/5 Impact 5/5 Risk Score 5/25 RAG Rating: GREEN Target Score: 5	Likelihood 4/5 Impact 5/5 Risk Score 20/25
Risk Appetite (Willing to accept):	Risk Tolerance (Able to accept):
<u>Low</u> Medium High	Category: Student Experience Low <u>Medium</u> High 1 2 3 4 5 6

x	Likelihood				
Impact	5	10	15	20	25
	4	8	12	16	20
	3	6	9	12	15
	2	4	6	8	10
	1	2	3	4	5

Risk Management Action Plan

Risk Description: Failure to achieve good student outcome/progression

Risk ID: 3

Owned by: VPSE

Review Date: Sept 2019

Update

Full Description:

Failure of curriculum to be industry relevant. Ineffective links with industry. Ineffective HEI articulation arrangements.

Treatment:

Course Improvement and Action Meetings (CIAMs) well established. All Schools are developing links with industry to ensure industry relevant curriculum. Ongoing collaboration with HEIs to maintain and develop articulation links.

Student Experience Strategy emphasises need for employability, industry relevant curriculum, and industry links (Industry Academies)

Commentary (Update):

The College has participated in the pilot to develop an ongoing College Learner Destination Survey led by SFC.

Data is collected from students to determine satisfaction with suitability of course with regard to preparation for work (First Impressions Questionnaire), and Exit student questionnaire.

A revised Curriculum Review and Planning process is now in place to monitor student outcomes and progression with adjustments made to portfolio as an output of this review.

A student partnership agreement has been established for August 2017 supported by a feedback initiative called "My Voice" and monitored through a Student Partnership Forum.

The New Quality Arrangements 'How Good is our College' were rolled out across the sector in December 2016. The College Associate Assessors and Performance and Improvement Director have been working with our assigned Education Scotland during 2016/17 to incorporate best practice. As part of this work an implementation plan for the quality arrangements was devised and put in place.

During the 2016/17 session staff development for teaching and support has taken place on the model, performance indicators and on evaluative writing. A model for Shared Teaching Practice has been developed. A regional quality group was formed which has sought to share practice and develop a common approach to the implementation of arrangements. An evaluative report of 2016/17 and an enhancement plan for 2017/18

has been produced and will form the focus of targeted action for 2017/18.

Excellent links with Universities have been established through the additional funded places scheme and COGC have one of the highest percentages of students articulating to university with advanced standing in comparison with the sector. The college is represented on the Commission on Widening Access (COWA) group and is a key partner in setting up the National Articulation Forum (a recommendation from COWA).

The Audit Committee (May 24 2017) agreed an increase to Likelihood score from 1 to 2, resulting in a total risk score of 10 (AMBER)

The College implemented its enhancement plan in 2017/18 as part of the HGIOC arrangements. A focus of the plan is to ensure good student outcomes and progression to further study or employment.

n.b. it is noted (April 2018) that the College only generates employer information for 766 Part-time students, and gathers destinations on Full-time students in line with SFC requirements.

Final student success information for 2017-18 is recorded in Risk MAP 1. Student progression information will be available from the College Leaver Destinations in November 2018. This risk plan will be updated to reflect actions in response to these datasets.

November 2018

It was noted by the Audit Committee that a positive impact upon student outcomes is anticipated by ELT as a result of the College restructuring (clearer management lines etc).

April 2019

The College Performance Action Group scrutinised a range of full time HE and FE courses to identify their plans for improvement. The output of the PAG group was presented to SMT and it was agreed that Deans and ADs would remove/revise their portfolios focusing on where courses have low attainment in line with the Performance Improvement proposal to the Board on the 14th March 2019. Removal/revision of courses by Deans and ADs will take place between March and curriculum planning meetings in November 2019. It was further agreed that actions plans, by CHs, would be put in place at an early point in academic year 2019/20 for all course below the national sector performance and that there would be a clear academic guidance process put in place by ADs.

It should be noted at this time that further teaching staff industrial action is planned and the EIS have asked staff to withhold student results from College systems. The availability of student results information is critical in being able to determine which students need support.

September 2019

The College is currently preparing for the Scottish Funding Council credits and performance audit of academic year 2018/19. During 2018/19 teaching staff engaged in 3 types of action - 6 days of strike action, withdrawal of goodwill and withholding of results from College systems. The College sought to mitigate the impact of the 3 actions by extending the academic block and where possible providing re-assessment opportunities; however due to results being withheld this made planning of re-

assessment events difficult. Early indicators of 2018/19 performance indicators suggested these actions impacted negatively on student success and in particular the management of partial success (i.e. students who require re-assessment).	
Current Risk Score:	Gross Risk Score (assuming no treatment)
Likelihood 2/5 Impact 5/5 Risk Score 10/25 RAG Rating: AMBER Consider score increase Target Score: 10	Likelihood 4/5 Impact 5/5 Risk Score 20/25
Risk Appetite (Willing to accept):	Risk Tolerance (Able to accept):
<u>Low</u> Medium High	Category: Student Experience Low <u>Medium</u> High 1 2 3 4 5 6

Impact	5	10	15	20	25
	4	8	12	16	20
	3	6	9	12	15
	2	4	6	8	10
	1	2	3	4	5
X	Likelihood				

Risk Register: 03 October 2019

RISK DETAIL					CURRENT EVALUATION			AIM and PROGRESS			RISK TREATMENT	
Strategic Theme	Risk Name	Risk ID	Level	Risk Owner	Likelihood	Impact	Net Risk Score	Gross Risk Score	Target Risk Score	Risk Movement/Comments	Link to Risk Mgt Action Plan (MAP)	Date of last review
Students	Failure to support successful student outcomes	1	1	VPSE	2	5	10	25	5		Risk 1 MAP.docx	Sept '19
Students	Failure to establish optimal pedagogical model	2	1	VPSE	1	5	5	20	5		Risk 2 MAP.docx	Sept '19
Students	Failure to achieve good student outcome/progression levels	3	1	VPSE	2	5	10	15	5		Risk 3 MAP.docx	Sept '19
Students	Failure of the College's Duty of Care to Students	21	1	VPSE	1	5	5	20	4		Risk 21 MAP.docx	Sept '19
Growth and Development	Failure to realise planned benefits of Regionalisation	4	1	Pr/DPr	3	3	9	20	3		Risk 4 MAP.docx	Sept '19
Growth and Development	Negative impact upon College reputation	6	1	VPCDI	3	5	15	25	5	Amber to RED AC 05/19	Risk 6 MAP.docx	Sept '19
Growth and Development	Failure to achieve improved business development performance with stakeholders	7	1	VPCDI	2	5	10	25	5		Risk 7 MAP.docx	Apr '19
Growth and Development	Failure to achieve improved performance	8	1	VPSE/DirP	2	5	10	20	5		Risk 8 MAP.docx	Sept '19
Growth and Development	Failure to attract, engage, and retain suitable staff	9	1	VPCS	2	2	4	20	3		Risk 9 MAP.docx	Oct '19
Processes and Performance	Negative impact of statutory compliance failure	10	1	CSP/DCS	2	5	10	20	5	Monitor IA actions AC 5/19	Risk 10 MAP.docx	Sept '19
Processes and Performance	Failure of Compliance with the General Data Protection Regulations (GDPR)	24	1	DCS/CSP	3	4	12	25	5	Score incr. 12 from 8 AC 05/19	Risk 24 MAP.docx	Sept '19
Processes and Performance	Failure of Corporate Governance	11	1	Pr/CSP	1	5	5	20	5	Monitor IA actions AC 5/19	Risk 11 MAP.docx	Sept '19
Processes and Performance	Failure of Business Continuity	12	1	VPCS/CSP	3	5	15	25	4	Monitor IA Report 11/19	Risk 12 MAP.docx	Oct '19
Processes and Performance	Failure of IT system security	25	1	VPCS	2	5	10	25	5	Score decr.. 15 to 10: FPRC 02/19	Risk 25 MAP.docx	Oct '19
Processes and Performance	Failure to manage performance	13	1	VPSE/DirP	1	4	4	20	4		Risk 13 MAP.docx	Sept '19
Processes and Performance	Negative impact of Industrial Action	14	1	VPCS	3	4	12	25	4		Risk 14 MAP.docx	May '19
Finance	Failure to achieve operating surplus via control of costs and achievement of income targets.	15	1	VPCS	3	3	9	25	4		Risk 15 MAP.docx	Sept '19
Finance	Failure to maximise income via diversification	16	1	VPCS/VPCDI	4	3	12	20	4		Risk 16 MAP.docx	Sept '19
Finance	Failure to obtain funds from College Foundation	20	1	VPCS	1	4	4	20	4		Risk 20 MAP.docx	Sept '19
Finance	Negative impact of Brexit	22	1	VPCS/DCS	5	2	10	tbc	5		Risk 22 MAP.docx	Sept '19
Finance	Failure to agree a sustainable model and level of grant funding within Glasgow Region	23	1	VPCS	3	4	12	25	5		Risk 23 MAP.docx	Sept '19

Key:

- Pr - Principal
- DPr - Depute Principal
- VPSE - Vice Principal Student Experience
- VPCS - Vice Principal Corporate Services
- VPCDI - Vice Principal Corporate Development/Innovation
- CSP - College Secretary/Planning
- DHR - Director of Human Resources
- DirP - Director of Performance
- DCS - Director of Corporate Support
- DirP - Director of Performance
- AC - Audit Committee

Risk Score Matrix

x	Likelihood				
Impact	5	10	15	20	25
	4	8	12	16	20
	3	6	9	12	15
	2	4	6	8	10
	1	2	3	4	5

Note comment

Trend

Date	Jun-17	Dec-17	Jun-18	Dec-18	May-19	Jun-19	Dec-19	Jun-20
Average Risk Score	10	9.56	9	9	9.43	9.43		

N.B. Closure of low-scoring risks will upwardly impact upon average risk score.

Tolerance vs Risk Score	Acceptable Risk Score		Acceptable Risk Score		Acceptable Risk Score	
	1-3	4-5	6-9	10-12	15-16	20-25
Risk Management Level of Tolerance (Able to Accept)	1	2	3	4	5	6
	Low		Medium		High	