

Board of Management Audit and Assurance Committee

Date of Meeting	Wednesday 24 February 2021
Paper No.	AAC3-D
Agenda Item	5.1
Subject of Paper	Strategic Risk Review
FOISA Status	Disclosable
Primary Contact	Paul Clark, College Secretary/Planning
Date of production	17 February 2021
Action	For Discussion and Decision

1. Recommendations

1.1 To consider the review of high-scoring (Red) risks, significant changes to risk scores, and to review risks under the Committee's remit.

1.2 To approve associated Risk Management Action Plans (MAPs) noting the updated commentaries and proposed changes to Risk scores as highlighted.

1.3 To review and approve the updated Risk Register

2. Purpose of report

2.1 The purpose of this report is to provide the Board, through the Audit Committee, with an update on the Senior Management review of strategic organisational risks, via the Risk Management Actions Plans (MAPs) for high-scoring risks, and any risks with proposed risk score alterations or other recent changes. Also included is the Risk Register, highlighting recent alterations to risk scores.

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, Audit Committee, and the Board of Management. This responsibility is highlighted in the College Strategic Plan at Priority 6. "To be efficient, effective, innovating, and vigilant".

3.2 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.

3.3 Strategic risks have been reviewed in the current review cycle to February 2021, involving senior Risk "owners".

3.4 All risks which have been identified as the highest scoring risks (i.e. high likelihood, high impact – RAG rated as "Red") are presented with updated mitigations and commentary within the relevant Risk Management Action Plans (MAPs).

3.5. In particular please note:

- Risk 1: Failure to support student success- previously scored 3x5 = 15 RED (Board of Management 26/8/20). **Now scored 4x5=20 RED (Board of Management 17/2/21).**
- Risk 7 Failure to achieve improved business development performance with stakeholders
Development Committee agreed increase in Risk score to 5x5=25 RED at April 2020, now reduced to 4x5=20 RED at Audit & Assurance Committee, Nov. 2020.
- Risk 10: Negative impact of statutory compliance failure- this risk is influenced by other risks, and has recently been susceptible to the risks associated with GDPR – specifically the requirement for a dedicated Data Protection Officer. This position

has now been filled. The Depute Principal has provided the Board and Audit Committee with regular updates on progress relating to Health and Safety, and Data Protection Action Plans, following receipt of Internal Audit Reports requiring action.

A potential compliance failure has been identified with regard to public sector website and app accessibility standards. An audit of compliance for accessibility of web, intranet and applications is being progressed. Current risk score $2 \times 5 = 10$ (AMBER).

- Risk 11 – Failure of Corporate Governance – this risk includes the “governance procedures and processes” and the assurances provided by internal and external audit. The Committee has agreed a more structured approach to assurance monitoring via an Assurance Framework. Current Risk Score $1 \times 5 = 5$ (GREEN).
- Risk 12 – Failure of Business Continuity: This risk was previously scored RED due to lack of Business Recovery Plans across the College. Ashton Resilience was engaged to undertake Business Impact Analyses for each faculty and service area in 2019, followed by development of Business Recovery Plans (BRPs) for each. This work is now complete, and has been the subject of an Internal Audit of Business Continuity. The Committee agreed a decrease in score from 20 to 12 in May 2020, in the light of the successful application of business continuity planning in the transition to emergency remote operation.
- Risk 15 - Failure to achieve operating surplus via control of costs and achievement of income targets.
The AAC agreed a risk score increase from 9 to 25 (RED) in May 2020.
- Risk 16 – Failure to maximize income via diversification. This risk is severely impacted by the coronavirus crisis, with commercial and international income curtailed. As a direct consequence of the pandemic, 2019-20 targets were missed by considerable margins with commensurate negative impact on the College’s financial position. This position is anticipated to continue through 2021. Score increased to $5 \times 5 = 25$ RED (Development Committee April 2020).
- Risk 22 - Negative Impact of Brexit - **A change of risk score is proposed, from $5 \times 2 = 10$, to $3 \times 4 = 9$, remaining Amber.**
- Risk 24 - Failure of compliance with General Data Protection Regulations. This risk had been scored red due to the absence of a dedicated Data Protection Officer as required by the regulations. This post has now been filled. **It is proposed that the current score $4 \times 4 = 16$ (RED) should now be revised downwards.**

Risk 27: “Failure to manage acute threats relating to coronavirus outbreak”; Commentaries across various aspects of College responsibility and concern are

represented in this risk, which highlights key issues and priority threats in the face of the current crisis. Risk Score decreased by the Audit and Assurance Committee from 16 (RED) to 12 (AMBER) in November 2020 reflecting the management of pandemic impacts.

3.6 A revised Risk Register is included in the appendices.

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. All strategic risks have potential strategic impact upon the College. The College Risk Register includes matters relating to legal compliance and specific duties.

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 Risk 16 specifically addresses the key strategic aim of the College to: "Secure diversity of income and sustainable development". Note that this key Risk is now rated at top score 25 (RED)

4.4 Performance management and improving performance are identified as areas of strategic risk, due to the potential impact on reputation, the student experience, and funding.

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

Appendices:

Appendix 1: Risk Register

Appendix 2: Selected Risk MAPs (including all RED-rated Risks).

Risk Register: 18 February 2021

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	3	5	15	25	5	Score incr. 10 to 15 RED BoM 8/20	Risk 1 MAP.docx	Jan'21
Students	Failure to establish optimal pedagogical model	2	1	VPSE	1	5	5	20	5		Risk 2 MAP.docx	Jan'21
Students	Failure to achieve good student outcome/progression levels	3	1	VPSE	2	5	10	15	5		Risk 3 MAP.docx	Jan'21
Students	Failure of the College's Duty of Care to Students	21	1	VPSE	2	5	10	20	4	Score incr. 5 to 10 AMBER	Risk 21 MAP.docx	Jan'20
Growth and Development	Failure to realise planned benefits of Regionalisation	4	1	Pr/DPr	3	3	9	20	3		Risk 4 MAP.docx	Jan'21
Growth and Development	Negative impact upon College reputation	6	1	VPCDI	3	4	12	25	5	RED to Amber PNC 08/20	Risk 6 MAP.docx	Jan'21
Growth and Development	Failure to achieve improved business development performance with stakeholders	7	1	VPCDI	4	5	20	25	5	Score decr. 25 to 20: AAC 11/20	Risk 7 MAP.docx	Jan'21
Growth and Development	Failure to achieve improved performance	8	1	VPSE/DirE	2	5	10	20	5		Risk 8 MAP.docx	Jan'21
Growth and Development	Failure to attract, engage, and retain suitable staff	9	1	EDHR	2	2	4	20	3		Risk 9 MAP.docx	Oct'20
Growth and Development	Failure to achieve taught degree awarding powers	26	1	VPCS	3	4	12	20	3	Score decr. 16 to 12 AAC 9/20	Risk 9 MAP.docx	Sept'20
Processes and Performance	Negative impact of statutory compliance failure	10	1	CSP	2	5	10	20	5		Risk 10 MAP.docx	Jan'21
Processes and Performance	Failure of Compliance with the General Data Protection Regulations (GDPR)	24	1	DPr	4	4	16	25	5	Score incr. 12 to 16 AC 02/20	Risk 24 MAP.docx	Jan'21
Processes and Performance	Failure of Corporate Governance	11	1	Pr/CSP	1	5	5	20	5		Risk 11 MAP.docx	Jan'21
Processes and Performance	Failure of Business Continuity	12	1	VPCS/CSP	3	4	12	25	4	Score decr. 20 to 12: AAC 05/20	Risk 12 MAP.docx	Feb'21
Processes and Performance	Failure to manage performance	13	1	VPSE/DirE	1	4	4	20	4		Risk 13 MAP.docx	Jan'21
Processes and Performance	Negative impact of Industrial Action	14	1	EDHR	3	4	12	25	4		Risk 14 MAP.docx	Oct'20
Processes and Performance	Failure of IT system security	25	1	VPCS	2	5	10	25	5		Risk 25 MAP.docx	Jan'21
Finance	Failure to achieve operating surplus via control of costs and achievement of income targets.	15	1	VPCS	5	4	20	25	4	Score decr. 25 to 20 FPCR 09/20	Risk 15 MAP.docx	Feb'21
Finance	Failure to maximise income via diversification	16	1	VPCS/VPCDI	5	5	25	25	5	Amber to RED DC 4/20	Risk 16 MAP.docx	Nov'20
Finance	Failure to obtain funds from College Foundation	20	1	VPCS	1	4	4	20	4		Risk 20 MAP.docx	Feb'21
Finance	Negative impact of Brexit	22	1	VPCS/DCS	5	2	10	tbc	5		Risk 22 MAP.docx	Feb'21
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	Feb'21
ALL	Failure to manage acute threats relating to coronavirus outbreak	27	1	Pr/DPr	3	4	12	25	4	Score decr. 16 to 12: AAC 11/20		Feb'21

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
 EDHR - Executive Director of Human Resources
 DirE - Director of Excellence
 DCS - Director of Corporate Support
 AAC - Audit & Assurance Committee

Risk Score Matrix		Likelihood				
x		5	10	15	20	25
Impact	4	8	12	16	20	24
	3	6	9	12	15	18
	2	4	6	8	10	12
	1	2	3	4	5	6
	1	1	2	3	4	5

Note comment

Trend								
Date	Jun-17	Dec-17	Jun-18	Dec-18	Jun-19	Dec-19	Jun-20	Dec-20
Average Risk Score	10	9.56	9	9	9.43	8.95	11.2	11.3

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	

Risk Management Action Plan

Risk Description: Failure to support successful student outcomes

Risk ID: 1

Owned by: VPSE

Review Date: 17 February 2021

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):

The 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. The Strategy is currently under redevelopment (at August 2020).

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 2018/19 to 2019/20 indicated an increase in full-time PIs, and a slight decline in part-time PIs. The table below identifies the College's 7-year trend.

Level	Mode	Completed Successfully*								Change	Change
		12-13	13-14	14-15	15-16	16-17	17-18	18-19	19-20	18-19 to 19-20	12-13 to 19-20
FT	FE	60%	70%	72%	72%	69%	68%	66%	69%	+3%	+9%
FT	HE	70%	74%	76%	76%	74%	74%	72%	77%	+5%	+7%
PT	FE	68%	75%	77%	87%	88%	87%	86%	84%	-2%	+14%
PT	HE	76%	84%	83%	81%	83%	82%	82%	82%	-0.7%	+6%

*Ref: SFC Audited figures

Each College Faculty has developed an action plan 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.

March 2020:

Education Scotland conducted a 3 day visit to assess progress of the 2017 Enhancement Plan. Progress was deemed 'Satisfactory' (2 outcomes are available - satisfactory and unsatisfactory) with no area needing further attention and a number of areas identified as 'excellent' practice.

April 2020

Due to the Covid-19 crisis, the college was closed to staff and students on March 17 2020. Prior to closure, faculty were preparing to continue delivery of learning and teaching to students via online delivery. Provision was made for those students who did not have laptops through an application and delivery process overseen by IT and Student Experience Directorate. Unfortunately not all students who needed a laptop will have been provided one due to limited supplies nor have all students got access to broadband. However, IT have also been supportive in the provision of 2 way text messaging provision for students.

Teaching staff initial focus was on making contact with all students and ensuring all accessed materials using 'mycity' (VLE), a dashboard was created to allow staff to see levels of engagement of students with the platform and staff were encouraged to contact those who had not engaged. In turn, SQA have provided guidance on assessment and certification of students and this has been a slow and evolving process; however the emphasis at this stage is on the continuation of L&T to allow the continued gathering of evidence to allow holistic decisions to be made to allow students to complete.

August 2020

The college has adopted a blended learning model of learning and teaching for academic year 2020/21. Blended Learning is a mix of on campus and online learning. We aim to ensure that those who are in greatest need of access to facilities, equipment, staff and key support services are prioritised to do so. There are a number of Key reasons why students may attend campus:

- Practical classes including: Use of technical/manufacturing equipment and PC labs; Simulators; use of Marine Survival Crafts; Kitchens; Salons and Games Halls etc
 - Guidance/peer support/tutorials
 - Student Support: Accessing student support services- continuing students with PLSPs etc and complex issues around money and accommodation
 - Examinations (only where necessary and required by Regulatory body))
- Equally, there are Key Groups of students who would be prioritised to attend:
- New students to the college (to facilitate social connection at the start of the year)
 - New students with PLSPs

Learning and Teaching Guidance paper (August 2020) has been developed and circulated to all faculty staff and emphasis is placed on Student Support and Engagement. It is recognized at this stage that Student Retention will be a key area for the College given the 'novelty' of online learning and particularly for lower level SCQF students. Enhanced induction and transition support is in place to mitigate some of that risk, and increased emphasis on student guidance from faculty staff is in place.

26 August 2020: An increase in withdrawal rate is anticipated. The Board of Management agreed an increase in Risk Score likelihood to 3, as proposed by the VPSE. This resulted in the Risk Score of 15 = RED.

2 November 2020

Early emphasis on student support and engagement through induction and transition activities was implemented to mitigate potential high student dropout. The average attendance is very good, FT FE 85% & FT HE 90%. The potential early withdrawal is also positive with only 89 FT students from 10,101 total FT enrolments at this date. This data is somewhat contrary to early worries about retention and students adapting to the blended learning experience. But there is caution at this point as it is early days and absolute focus is on student engagement and successfully managing the student learning experience.

18 January 2021

The College was placed under Tier 4 Covid restrictions Friday 20 November 2020 resulting In most classes will be delivered online. For many of our teaching staff, this was a continuation of recent weeks and months. However, for some, this had significant implications for delivery of on-campus classes. Only those classes that were considered ‘time critical’ were allowed access to campus. The College’s physical campus was subsequently closed after Christmas holiday as the country moved into full lockdown. Classes continued online but concerns are rising for the completion of practical units and ultimately completion of awards. Continued consultation with regulatory bodies (SQA) is ongoing seeking reassurance and flexibility as a matter of urgency, to agree and announce holistic assessment to course aims. The VPSE has established a cross college Covid L&T Taskforce to review time left to end of academic year and various scenarios (Closure/Tier 4/Tier 3) and impact on learning time available and potential approaches to completion.

17 February

The Board of Management agreed to raise the risk score from 3x5=15 to 4x5=20 due to added pressures on students and staff though extended lockdown, deferral pressures etc. The lack of guidance from SQA regarding assessments was also considered a matter of considerable concern, though this was not expected to have a direct impact on student success.

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

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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 achieve improved business development performance with stakeholders

Risk ID: 7

Owned by: VPCDI

Review Date: January 2021

Update

Full Description:

Loss of/Failure to build effective partnerships/Reputational Risks/Staff Health and Well Being (see Level 2 Risks below).

Treatment:

Employer relationships and Business engagement are managed as detailed in the Corporate Development Plan and in line with the agreed Business Development Process Map to ensure relevant and timely communications. The Plan has been reviewed with reference to the College Strategic Plan 2017-25 and the 8 strategic priorities. In line with Strategic Priority 8 the additional strategic planning documents are now required for:

- Global reach
- Commercial & Business Development
- Partnerships & Workforce Planning
- Brand & Corporate Communications

N.B. Associated Level 1 Risks:

- Growth and Development/College Reputation (Risk 6)
- Statutory Compliance Failure (Risk 10)
- Finance/Income Targets (Risk 15)
- Income diversification (Risk 16)

Commentary (Update):

The documents indicated above will come to the Board as part of the refreshed Corporate Development Strategy, relating to delivery of the new College Strategic Plan 2020-2030. This strategy is being continually developed to feature the additional and associated initiatives as well as the new challenges the college faces within the current economic climate.

The Corporate Development team continue to work with the Faculties in procuring new business as well as sourcing sustainable and reputable opportunities for additional non-government income.

August 2020: College campuses open but restricted.

Business Development activity during lockdown and post lockdown has remained consistent with some areas being surprisingly consistent. The team have continued to submit numerous RFP's and Tenders across both the public and private sectors. There has also been a lot of activity across the International Maritime area, with large scale opportunities presenting themselves in late 2020.

The FWDF team have particularly proactive during lockdown with the development of over 70 courses now being delivered online. Since March 2020, there have also been over 3500 employees undertaking training on funded programmes. The FWDF guidance changed in December 2020 to allow SME's to access up to £5k per company.

It is therefore anticipated that City's allocation will be £1.8M however this has still to be confirmed due to the Regional Board having questioned the Glasgow allocation with SFC.

FWDF activity is now available on the College Dashboard.

As previously reported a review of the death rates in countries where the college has partnerships indicate that the outbreak has had a significantly lesser impact in terms of recorded deaths. The Corporate Development team are in regular contact with partners in China, Malaysia, India and Vietnam with live interactive sessions taking place over the past few months. More are planned for 2021.

The Development Committee noted progress in the development of a number of initiatives with partner organisations. However the ongoing uncertainties caused by the Covid pandemic, nationally and globally, remain a considerable threat. Risk score remains at 25 RED.

In November 2020, the Audit Committee agreed a change to risk likelihood from 5 to 4, hence Risk score of 20.

Current Risk Score:	Gross Risk Score (assuming no treatment)
Likelihood 4/5 Impact 5/5 Risk Score 20/25 RAG Rating: Decreased to 20 RED score (Audit Committee Nov 2020) Target Score: 5	Likelihood 5/5 Impact 5/5 Risk Score 25/25
Risk Appetite (Willing to accept):	Risk Tolerance (Able to accept):
<u>Low</u> Medium High	Category: Change and Development Activities Low <u>Medium</u> High 1 2 3 4 5 6

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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: Negative impact of statutory compliance failure

Risk ID: 10

Owned by: CSP/DCS

Review Date: January 2021

Update

Full Description:

Where some of the risks listed represent the ultimate sanction possible e.g. conviction, all action short of that and from the point of allegation is a risk to the organisation.

Detailed risks:

1. Breach of Equalities legislation upheld by Tribunal (e.g. successful discrimination claim)
2. Equal pay challenge
3. Unfair dismissal claims (including whistleblowing)
4. FOISA - appeal to Scottish Information Commissioner upheld
5. Serious breach of the Data Protection Act 1998, European Union General Data Protection Regulation (GDPR), and/or UK Data Protection Act, 2018 (DPA).
6. Employment Tribunal appeal upheld
7. Safeguarding /PVG failure
8. Contravention of Bribery Act 2010
9. Conviction for breach of the Corporate Manslaughter and Corporate Homicide Act 2007
10. Conviction for Breach of H & S legislation
11. Breach of procurement legislation upheld
12. Failure of compliance with Equality Act 2010: Specific Duties
13. Loss of UKVI Highly Trusted Status (Now referred to as Tier 4 provider).
14. Failure to comply with Counter Terrorist and Security Act 2005 and "Prevent" legislative requirements
15. Failure to comply with the Children and Young People (Scotland) Act 2014 (Corporate Parenting)
16. Failure to comply with EU directive on Protection of Personal Data (applies from May 2018) NB A new Risk Management Action Plan Risk MAP 24) has been created for this issue.
17. Failure to comply with public sector website accessibility standards [ref. Public Sector Bodies (Websites and Mobile Applications) (No. 2) Accessibility Regulations 2018.]

Treatment:

1. Train staff, including managers in operation of college policies & procedures, including legal requirements; Incorporate in all Balanced Scorecards re: responsibility for D&E
2. The harmonisation of teaching pay scales is part of the national bargaining discussions. In terms of support staff the implementation of a job evaluation scheme has been concluded. See Risk MAP 14. Gender Pay Gap is reported and is the subject of a CoGC based research project planned for Jan-Dec 2018, involving staff focus groups.

3. Seek advice from College Secretary, HR Director, and Director of Corporate Support (who has the authority to access external legal specialist support), where appropriate, on key policy/procedural matters, and where risk profile is assessed as high or increasing due to possible or likely non-compliance. Whistleblowing Policy and Procedure developed, approved, and published (2017) ;
4. As above
5. Robust policies in place; Training of staff – e-learning module rolled out Feb 2013
6. Train managers in operation of college policies & procedures; Recruitment of suitably skilled HR staff to advise and guide managers in legal matters
7. Have appropriate policies in place for both students and staff; train managers in operation of college employee policies & procedures. Mandatory staff training; module on My City.
8. Robust policies; Training for staff
9. Train staff, including managers in operation of College Health & Safety policies & procedures, including legal requirements; ensure all facilities/equipment well maintained and regularly tested; Ensure robust regular internal audit.
10. Train managers in operation of college employee policies & procedures, including legal requirements;
11. Seek procurement advice from Procurement Team and, where appropriate, legal advice from the Director of Corporate Support (, (who has the authority to access external legal specialist support), where appropriate, on key policy/procedural legal matters and where risk profile is assessed as high or increasing due to possible or likely non-compliance
12. All College Policies and Procedures require an Equality Impact Assessment(EQIA); Policy and Procedure EQIAs currently are collated by E,D&I team.
13. Close working relationship with UKVI maintained to reduce risk of loss of Highly Trusted Status. UKVI Audit undertaken January 2019.
14. Development and rollout of “Prevent” compliance training; Development of College Prevent Policy.
15. Board of Management corporate parenting training undertaken February 2017; SMT training in April 2017. Development of Corporate Parenting Action Plan.
16. Sub-risk added March 2017, following advice from External Auditor. Now elevated to a stand alone strategic risk (Audit Committee September 2017) with risk treatment involving external consultation with JISC to validate and augment internal findings and recommendations. SMT has agreed the formation of a Data Management WG to progress a series of recommendations relating to GDPR compliance. GDPR training has been rolled out across the College, and is ongoing (Aug 2018). Internal Audit of DP presented to Audit Committee, May 2018. 15 May 2019: Completion of all recommended actions from IA reports on Health and Safety and Data Protection to specified timescale.
17. A co-ordinated audit to address compliance with UK Government accessibility requirements for public sector bodies to be undertaken, i.e. by ensuring that the following College services/applications are “ [‘perceivable, operable, understandable and robust’](#)¹:
 - The College Website
 - LibWeb
 - CitySA
 - Connected
 - MyCity

¹ <https://www.gov.uk/guidance/accessibility-requirements-for-public-sector-websites-and-apps>

Commentary (Update):

Re 1. Following the merger there was a risk of an equal pay challenge if males and females were doing work of equal value and being paid differently. This matter was addressed with the implementation of job evaluation.

Re 4. A recent appeal to the SIC was upheld; however this found only that a request should have been dealt with under Environmental Information Regulations rather than FOISA. The information concerned was still withheld as commercially sensitive, quoting the relevant EIR Regulation (10) (5) (e) rather than the appropriate FOISA exemption. Quantity and complexity of FOI requests is noted as increasing significantly. Reportage to Audit Committee undertaken from 2017.

Re. 7 (Safeguarding/PVG challenge) above: Criminal convictions declaration required at application and enrolment. For staff a risk assessment is conducted if a member of staff has an unspent conviction.

Re. 12. All policies in place as appropriate, with training provided as necessary. SMT and the Audit Committee had noted in 2013-14 that many Policies and Procedures required an Equalities Impact Assessment (EQIA). As the first deadline for completion (Feb 2014) was not met, the risk score for this risk had been elevated to 6 Amber. SMT confirmed that by June 2014, all Policies and Procedures had recorded completed EQIAs. As at October 2015, all Policies and Procedures have recorded completed EQIAs. Policy and Procedure tracker now in place with ongoing monthly monitoring of approval status and review dates.

Re. 13: Ongoing high priority given to maintaining compliance with UKVI regulations, following cessation of collaboration with Bangladeshi partner (WMA), following UKVI advice.

Re 14: PREVENT training delivered to SMT - September 2016. Prevent Policy drafted and reviewed by Corporate Care WG Dec 2017. Prevent raining module under development (at April 2018). Prevent Policy endorsed by SMT for Board Committee approval (April/May 2018).

Re.15: The Board of Management undertook training on corporate parenting responsibilities under the Children and Young People Act in February 2017. This was provided by Who Cares? Scotland and included input from a care experienced young person. Corporate Parenting Action Plan developed and reviewed by Student Staff and Equalities Committee October 2017).

Re 16: The Audit Committee noted advice from the External Auditor regarding the Protection of Personal Data Directive from the EU (extended post-Brexit). This is referred to as the General Data Protection Regulations (GDPR). Failure to comply with the directive could result in very considerable fines being imposed. Risk MAP 24 addresses GDPR compliance - now developed, reviewed, and updated as part of the regular Risk Management cycl

Ongoing Review of Health & Safety, Data Protection Action Plans

This risk will be reviewed by the Audit Committee with reference to the updates on Internal Audit Reports on Health and Safety, and Data Protection, action plans. Note that the position of Data Protection Officer for the College has now been filled on a 0.6FTE basis.

Re. 17: An invitation to tender for has been issued for a co-ordinated audit to address compliance with UK Government accessibility requirements for public sector bodies, i.e. by ensuring that College services/applications are compliant and that an action plan is developed as necessary.

May 2020

Under the pressures of the coronavirus crisis, there is a specific focus upon the College's compliances, at a point when significant strategic and operational decisions are being made.

September 2020

The Audit Committee agreed that to provide assurance and ensure a consistent approach, an audit of accessibility compliance in respect of applicable legislation, ie Public Sector Bodies (Websites and Mobile Applications) (No 2) Accessibility Regulations 2018 will be undertaken (Depute Principal). This action is being progressed.

November 2020

The Audit Committee reviewed the current position with regard to the recruitment of a Data Protection Officer, and the challenges involved.

January 2021

A DPO has been appointed through Thornton's.

Current Risk Score:	Gross Risk Score (assuming no treatment)
Likelihood 2/5 Impact 5/5 Risk Score 10/25 RAG Rating: AMBER Target Score: 5	Likelihood 5/5 Impact 5/5 Risk Score 25/25
Risk Appetite (Willing to accept):	Risk Tolerance (Able to accept):
Low Medium High	Category: Compliance/ Reputation Low Medium 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 of Corporate Governance

Risk ID: 11

Owned by: Pr/College Secretary

Review Date: January 2021

Update

Full Description:

Breach of Code of Conduct; breach of Code of Good Governance; failure of formal procedures; lack of robust/ failure of monitoring/management processes etc; breakdown of effective Board/ELT relationships.

Impact of failure would be high, but likelihood without mitigation is medium and reduces to low with mitigation. Because of the seriousness of failure, and the low tolerance of failure relating to compliance and reputation, the risk appetite is low.

Treatment:

- Maintenance and monitoring of sound governance procedures and processes
- Insurance against financial loss due to fraud etc.
- Identification of Risk at operational level via operational planning
- Regular meetings of Board Audit Committee
- Regular Internal and External Audit review, and reportage to Board of Management Board development activities and self-evaluation process.
- External Board Effectiveness Review 2017, 2020/21
- College Secretary Training and Development
- External Audit undertaken without recommendations for improvement -Dec 2020

Commentary (Update):

1. Internal Audit reviews of governance and risk (to Dec 2020) found "Substantial" levels of assurance in both the design and operational effectiveness of Governance and Risk Management. Risk Internal Audit assurance rated "Good" (2020).
2. Board Committees self-evaluation developed in August 2014 and refined each year since. Self evaluation process aligned with Code of Good Governance for Scotland's Colleges. Board and Committee self-evaluations undertaken annually.
3. College Secretary has completed CIPFA Certificate in Corporate Governance (2016).
4. The Board of Management has undertaken an External Review of Board Effectiveness/Governance as per the Code of Good Governance and ministerial direction. The Report was completed to schedule (March 31 2017) and is published on the College Website. The Report states that:

- “There is substantial evidence of adherence to the Code of Good Governance.”
- “(There is) Strong evidence of systematic strategic planning, showing alignment through associated supporting strategies, success measures, benchmarking and targets.”
- “Considerable evidence of strong governance processes.”

(Ref: External Review of Governance Report 2017; p1).

5. In line with the Good Governance Steering Group direction to the sector, a further external review is currently underway (January 2021).

6. A series of meetings between the Board Chair and individual Board members took place throughout 2020 to progress Board member appraisals.

May 2019

The instance of suspected fraud reported to the Audit Committee on 29 April is indicative of a failure of internal control processes relating to finance, procurement, and resource management and control.

The College Secretary/Planning supported a cross-college review of operational planning through 2018-19, to include risk identification. Process and template agreed by SMT at March 2019. Directors/Deans are tasked with development of new Operational Plans following the operational plan template and planning guidance provided.

February 2020

Revised Board Development Plan approved and published. Audit Committee members attended external training (via “On Board”) in December 2019. Remuneration Committee members have all completed CDN mandatory training. (January 2020). All Board members completed appraisal interviews with the Board Chair, as required by the Code of Good Governance 2016. Externally facilitated Review of Board Effectiveness planned for 2020.

May 2020

A new Assurance Framework has been approved by the Audit Committee, for completion by ELT.

September 2020

Internal Audit Review of Risk Follow Up Report agrees timescale of 31 October for ELT to complete Assurance Framework checklist.

November 2020

Assurance Framework review and approval by Audit and Assurance Committee November 2020.

January 2020

Annual Report 2019-20 included an independent audit of governance. No recommendations included. Report approved by full Board December 2020.

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 5/5 Impact 5/5 Risk Score 25/25
Risk Appetite (Willing to accept):	Risk Tolerance (Able to accept):
<u>Low</u> Medium High	Category: Reputation/ Compliance <u>Low</u> Medium 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 of Business Continuity

Risk ID: 12

Owned by: VPCS/CSP

Review Date: January 2021

Update

Full Description:

1. Severe Fire/Flood
2. Terrorist attack
3. IT Systems Failure (incl Cybercrime) - See Risk MAP 25.
4. Other emergency circumstances resulting in main service failure, and threatening the operation of the College as described in Incident Management Plan (Business Continuity) v4.3.
5. Impact of Coronavirus Covid-19 outbreak (2020)

Treatment:

1. Maintain current operational controls.
2. Create and regularly review Incident Management Plan (Business Continuity).
3. Communicate plan to all senior staff.
4. Ensure that local Business Recovery Plans are developed and reviewed.
5. Test and Review at local and College level.

Commentary (Updates):

Strategic Review of Business Continuity Management

This review was undertaken by Ashton Resilience in March 2018, for the College insurers UMAL, by arrangement with the Infrastructure team. The review looked at the activities and operations of the College, its current recovery capability and the degree to which BCM has been implemented. A draft report was forwarded to the College on 16 April 2018, with detailed findings and recommendations.

In summary the report found that the College had a “well-developed operational response to incidents, however there was a need for all departments “to develop, implement and maintain a functional recovery process”. This will involve firstly conducting a business impact analysis then documentation of business recovery plans for each area, based upon coherent recovery strategies.

The report stated that:

“ The high priority recommendations in this report are that the City of Glasgow College should:

- Conduct a business impact analysis and service impact analysis for key processes right across the College.
- Identify recovery time objectives for critical business activities and IT services.
- Identify recovery resources, dependencies and strategies for operational

recovery.

- Complete the creation of new departmental business continuity / recovery plans to cover all critical areas of the College, using the business impact analysis data as the base.”

January 2019

Business Continuity specialist Ashton Resilience was engaged to conduct a full cross-college Business Impact Analysis, to inform the development of detailed Business Recovery Planning across all college teaching and support functions.

April – July 2019

Business Impact Analysis meetings were undertaken throughout the College, between managers from all faculties and service areas with Ashton Resilience.

September/October 2019

This risk was scored RED due to lack of Business Recovery Plans across the College. Ashton Resilience had undertaken Business Impact Analyses for each faculty and service area, with managers from all faculties and service areas, followed by development of Business Recovery Plans (BRPs) for each. This work was completed in September 2019, and was the subject of an Internal Audit of Business Continuity which found a GOOD level of assurance. A new BCP Policy was drafted, and approved by FPRC 2 October 2019.

November 2019

In the context of progress made and the IA Report, the Audit Committee re-assessed the score for this risk as $2 \times 5 = 10$ AMBER.

February-March 2020

The Covid-19 Advisory Group met daily, chaired by the Depute Principal, and considered a wide range of precautionary and business continuity issues. BRP owners were asked to review their plans with reference to the possibility of closure of College buildings, and the continuance of key functions, including student support and delivery of L&T utilising alternative methods and technology. Various scenarios are being considered, and actions to manage such scenarios agreed.

The full Board discussed this Risk MAP on 11/3/20, and assessed both likelihood and impact scores. The Board took account of the status of the outbreak via latest reports and guidance, and the steps taken by SMT/Covid-19 Advisory Group in terms of scenario planning and actions. As a result, the Board agreed a revised Risk Score of 5 (likelihood) and 4 (Impact) = 20 (RED)

May 2020

The Board and SMT have overseen a migration to remote working, learning and teaching, and all College operations, following closure of the College buildings on 17th March. Recently reviewed and renewed business recovery planning, in place at the time of building closure, was beneficial in this migration process. Continued business continuity issues relate to the sector-wide (and global) financial impact of the crisis.

July/August 2020

Operations protocols for the College Campus sites have been developed to minimise risk to staff students and visitors, as part of planning a limited return to building occupation. Estates teams (with FES) have planned and implemented measures to minimise risks associated with the movement of people, cleaning and hygiene,

ventilation, airflow/filtration etc. Cleaning staff returned to work in July on a phased return basis.

Recent Score Changes:

Audit and Assurance Committee May 2020: The Risk score was reduced from 20 (RED) to 12 (AMBER) via likelihood score reduction from 5 to 3 following consideration of preparations undertaken to review and renew Business Continuity and Recovery Planning in 2019/20, and subsequent management of business continuity following the outbreak of Covid19 and subsequent building closure. Impact score previously reduced from 5 to 4 BoM (11/3/20)

January 2021

Business Continuity Plan revised to reflect Covid-19 protocols. Business Recovery Plans under ongoing review by BRP owners (SMT). Contingency planning reviewed and refined by SMT through November. Further contingencies in place to reflect Scottish Government Tier status for Glasgow and added lockdown measures at January 2021.

Current Risk Score:	Gross Risk Score (assuming no treatment)
Likelihood 3/5 Impact 4/5 Risk Score 12/25 RAG Rating: AMBER Target Score: 5	Likelihood 5/5 Impact 5/5 Risk Score 25/25
Risk Appetite (Willing to accept):	Risk Tolerance (Able to accept):
<u>Low</u> Medium High	Category: Business Continuity <u>Low</u> Medium 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 achieve operating surplus via control of costs and achievement of income targets

Risk ID: 15

Owned by: VPCS

Review Date: February 2021

Update

Full Description:

Failure of the College's Strategic Priority 7, and associated Strategic Aims: To maintain our long-term financial stability.

The College's aim is to produce at least a balanced budget annually at 31st March and an underlying operating surplus annually at 31st July.

Commentary (Update):

The current Income & Expenditure current projections are shown in (Appendix 2).

Operating Surplus/Deficit

The College achieved an operating surplus in the Resource Return at 31st March 2020 however the impact of Covid-19 from March 2020 caused an underlying operating deficit in the 2019-20 annual accounts. The College made no transfer to the College Foundation in March 2020.

In the 2019-20 the College approved financial plan budgeted for a small underlying operating surplus (£17k). The Covid-19 pandemic has caused a massive financial impact on the College since the buildings closing on the 17th March 2020. Appendix 1 highlights the 2019-20 underlying operating deficit of £360k, a substantially reduced loss from the initial estimate due to maximising SFC funding, CJRS (furlough) funding, improved volume of online teaching and cost controls. Appendix 2 highlights the 2020-21 projected underlying operating deficit of £1.9m. The College has the highest proportion of non SFC income and unfortunately these income sources have suffered the greatest reduction from the closure and cancellation of courses.

There remain significant uncertainties surrounding the projection, especially relating to the demand for commercial and international training. The College believes there will be a substantial new demand for upskilling and reskilling in response to the economic recession and financial crisis. The College received a significant increase in the SFC

Flexible Workforce Development Fund (FWDF) of £445,000 for 2020-21 however the continuing Covid-19 restrictions have delayed and reduced the short term demand for training. The Senior Management Team and staff will continue to maximise income, control costs and delivery efficiency savings.

The key risks are;

Income: SFC Funding

- Failure to achieve future Credit target.
- Delays in delivering FWDF activity
- GCRB teaching grant allocation to the College not sufficient to meet increased costs.
- Future reduction in SFC ESF funding.
- Future SFC regional funding not sufficient to meet increased costs.
- GCRB capital maintenance grant allocation to the College not sufficient to meet investment requirements.

Income: Course Fees

The key risks are;

- Failure to achieve the fee income target.
- Failure to deliver future years income growth.
- Future changes to the population demographics.

Income: Non SFC Fundable Course Fees

The key risks are;

- Failure to achieve the income target.
- Failure to deliver future years income growth.
- Failure to meet industry demands and expectations.

Income: Other Income:

The key risks are;

- Failure to achieve the income target.
- Failure to deliver future years income growth.
- Wider UK & international economic pressure and performance.
- Failure to meet industry demands and expectations.
- Student accommodation performance and potential increased competition.

Expenditure: Staff Costs:

The key risks are;

- Failure to effectively control the staff cost budget.

- Managing staff absence levels and temporary staff contracts.
- Increasing costs from national bargaining agreements.
- Delivering a staff structure that improves service and performance while minimising the staff cost budget.
- Future impact of inflation and union demand for higher annual cost of living pay awards.
- Impact of ongoing staff industrial relations issues.

Expenditure: Operating Expenses

The key risks are;

- Failure to effectively control the operating expenses budget.
- Managing the NPD contract costs and performance.
- Future impact of potentially higher inflation.

Current Risk Score:	Gross Risk Score (assuming no treatment)
Likelihood 5/5 Impact 4/5 Risk Score 20/25 RAG Rating (Overall): RED Target Score: 4	Likelihood 5/5 Impact 5/5 Risk Score 25/25
Risk Appetite (Willing to accept):	Risk Tolerance (Able to accept):
<u>Low</u> Medium High	Category: Finance 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				

CITY OF GLASGOW COLLEGE					
	2020/21	2020/21	2019/20	2019/20	2018/19
	12-month F'Cast Dec £000s	12-month Budget £000s	12-month Actual £000s	Budget £000s	12-month Actual
Income					
SFC Teaching Grants	40,222	40,222	39,686	38,778	37,196
SFC ESF	2,347	2,347	2,378	2,386	2,367
SFC FWDF	1,370	890	730	890	682
SFC Other	23,956	23,756	24,508	24,913	26,321
Total SFC income	67,895	67,215	67,302	66,967	66,566
Fundable Tuition Fees	10,494	10,487	10,422	11,036	10,772
International & Commercial tuition fe	6,726	5,530	7,468	7,992	7,733
Other income	962	691	1,772	776	1,033
Catering & Accomodation	2,033	2,233	2,993	4,433	4,200
EU & International	939	869	795	1,002	792
Grant from Foundation	315	1,000	24	1,000	563
Investment income	5	15	5	25	31
Total NON SFC income	21,474	20,825	23,479	26,264	25,124
Total income	89,369	88,040	90,781	93,231	91,690
Expenditure					
Staff Costs	55,102	54,315	56,292	52,898	50,916
Other operating expenses	11,112	11,577	12,191	13,073	12,986
Property costs	17,650	17,350	17,055	17,772	18,844
Exam fees	1,268	1,218	1,318	1,321	1,239
Depreciation	5,236	4,886	8,645	8,377	10,083
Total expenditure	90,368	89,346	95,501	93,441	94,706
Operating Surplus (Deficit)	(999)	(1,306)	(4,720)	(210)	(3,016)
(Loss) on sale of fixed asset	0	0	0	0	5,790
Operating Surplus/(Deficit) after loss on sale of fixed asset	(999)	(1,306)	(4,720)	(210)	2,774
SURPLUSES AND DEFICITS					
Operating Surplus/(Deficit)	(999)	(1,306)	(4,720)	(210)	2,774
Diff between historical cost deprn & actual charge for the period	677	677	578	188	2,087
Historical cost Surplus/(Deficit) for the period	(322)	(629)	(4,142)	(22)	4,861
Pension Adjustments	0	0	2,681	0	2,922
Foundation Adjustments	(315)	(1,000)	0	(1,000)	(263)
NPD Balance Sheet debt	(5,011)	(5,011)	(4,700)	(4,700)	(4,366)
Revalutaion reserve	(677)	(677)	(578)	(188)	(2,087)
Depreciation - Net of deferred Grant	4,399	4,249	6,379	5,927	5,924
Underlying Operating (Deficit)	(1,926)	(3,068)	(360)	17	10,551
F'Cast Cash balance as at 31 July 2021	4,201	2,966	8,992	7,308	8,227

CITY OF GLASGOW COLLEGE					
	2020/21	2020/21	2020/21	2020/21	2020/21
	12-month	12-month	12-month	12-month	12-month
	Variance	F'Cast	F'Cast	F'Cast	Budget
	£000s	£000s	£000s	£000s	£000s
Income					
SFC Teaching Grants	0	40,222	40,222	40,222	40,222
SFC ESF	0	2,347	2,347	2,347	2,347
SFC FWDF	480	1,370	1,370	1,370	890
SFC Other	200	23,956	23,956	23,956	23,756
Total SFC income	680	67,895	67,895	67,895	67,215
Fundable Tuition Fees	7	10,494	10,494	10,508	10,487
International & Commercial tuition fees	1,196	6,726	6,851	7,241	5,530
Other income	271	962	962	1,082	691
Catering & Accommodation	(200)	2,033	2,033	2,033	2,233
EU & International	70	939	869	869	869
Grant from Foundation	(685)	315	315	315	1,000
Investment income	(10)	5	5	5	15
Total NON SFC income	649	21,474	21,529	22,053	20,825
Total income	1,329	89,369	89,424	89,948	88,040
Expenditure					
Staff Costs	787	55,102	55,147	55,550	54,315
Other operating expenses	(465)	11,112	11,062	11,146	11,577
Property costs	300	17,650	17,650	17,650	17,350
Exam fees	50	1,268	1,268	1,268	1,218
Depreciation	350	5,236	5,236	5,236	4,886
Total expenditure	1,022	90,368	90,363	90,850	89,346
Operating Surplus (Deficit)	307	(999)	(939)	(902)	(1,306)
(Loss) on sale of fixed asset	0	0	0	0	0
Operating Surplus/(Deficit) after loss on sale of fixed asset	307	(999)	(939)	(902)	(1,306)
SURPLUSES AND DEFICITS					
Operating Surplus/(Deficit)	307	(999)	(939)	(902)	(1,306)
Difference between historical cost deprn & the actual charge for the period	0	677	677	677	677
Historical cost Surplus/(Deficit) for the period	307	(322)	(262)	(225)	(629)
Pension Adjustments	0	0	0	0	0
Foundation Adjustments	685	(315)	(315)	(315)	(1,000)
NPD Balance Sheet debt	0	(5,011)	(5,011)	(5,011)	(5,011)
Revaluation reserve	0	(677)	(677)	(677)	(677)
Depreciation - Net of deferred Grant	150	4,399	4,399	4,399	4,249
Underlying Operating (Deficit)	1,142	(1,926)	(1,866)	(1,829)	(3,068)
F'Cast Cash balance as at 31 July 2021	1,235	4,201	4,261	4,298	2,966

Risk Management Action Plan

Risk Description: Failure to maximise income via diversification

Risk ID: 16

Owned by: VPCS/ VPCDI

Review Date: November 2020

Update

Full Description:

Failure to optimise income opportunities via existing and potential markets and partners.

Treatment:

Develop of Corporate Development Plan to deliver the College Corporate Development Strategy. Manage and monitor the delivery of the plan.

Commentary:

The Corporate Development Strategy was approved by the Board of Management Development Committee and contains plans, initiatives and targets to meet the overall College strategic priorities. Commercial and International Teams, as well as Academic Faculties, have reviewed all aspects of income diversification.

Regular reportage on growth and development in relation to targets is now a standing item on the Development Committee agenda. The Corporate Development Team and Faculties undertake ongoing reviews of Commercial and International targets, and progress.

Update:

The College strategic plan is to grow the proportion of income from Non SFC funding. The Covid-19 pandemic has caused a massive financial impact on the College since the buildings closing on the 17th March 2020. Appendix 1 highlights the 2019-20 projected underlying operating deficit of £0.7m, a substantially reduced loss due to maximising SFC funding, CJRS (furlough) funding, improved volume of online teaching and cost controls. Appendix 2 highlights the 2020-21 projected underlying operating deficit of £3.1m. The College has the highest proportion of non SFC income and unfortunately these income sources has suffered the greatest reduction from the closure and cancellation of courses. 2019-20 Commercial and international course income has an estimated reduction of £1.3m. In addition to the dramatic drop in income the majority of

the costs to the 31st July 2020 are still being incurred and we are continuing to fully pay all contracted staff. The College is projected a significant loss at the 31st July 2020 with Non SFC income falling by £2.9m.

The Corporate Development Team and Faculties were on target to fully deliver the full £894k FWDF SFC Grant allocation. This income has also been negatively impacted with our building closure and a high proportion of businesses closed or prioritising tackling Covid-19. The team have managed to deliver a significant volume of online training limiting the funding reduction to £230k up to 31st July 2020.

The College budget for 2020-21 and the underlying assumptions still show a substantial reduction in commercial & international course income and other NON SFC income, reduction of £8.1m. Appendix 2 highlights the 2020-21 projected underlying operating deficit of £3.1m.

As a result of the changed context and massive reduction in NON SFC income the risk score was **increased to 25** in April 2020.

In November 2020, the Development Committee noted progress in the development of a number of initiatives with partner organisations, in particular with international partners. However the ongoing uncertainties caused by the Covid pandemic, nationally and globally, remain a considerable threat. Risk score remains at 25 RED.

Current Risk Score:	Gross Risk Score (assuming no treatment)
Likelihood 5/5 Impact 5/5 Risk Score 25/25 RAG Rating: RED Target Score: 9	Likelihood 5/5 Impact 4/5 Risk Score 20/25
Risk Appetite (Willing to accept):	Risk Tolerance (Able to accept):
Low Medium High	Category: Change and Development/ Financial Low Medium 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				

CITY OF GLASGOW COLLEGE					APPENDIX A
INCOME AND EXPENDITURE ACCOUNT					
	2019/20	2019/20	2019/20	2019/20	2019/20
	F'Cast	F'Cast	F'Cast	F'Cast	Budget
	July 20	Jun 20	May 20	Feb 20	
	£000s	£000s	£000s	£000s	£000s
Income					
SFC Teaching Grants	39,686	39,535	39,365	39,365	38,778
SFC ESF	2,386	2,386	2,116	2,338	2,386
SFC FWDF	760	553	553	890	890
SFC Other	24,610	24,889	24,862	24,862	24,913
Fundable tuition fees	10,527	10,406	10,406	10,743	11,036
International & commercial tuition fees	6,699	6,447	6,447	7,726	7,992
Other income	1,621	1,592	1,552	820	776
Catering & Student Accommodation	3,055	3,032	3,032	4,433	4,433
EU & International projects	953	1,031	1,031	1,743	1,002
Grant from Foundation	0	0	315	315	1,000
Investment income	10	15	10	15	25
Total income	90,307	89,886	89,689	93,250	93,231
Expenditure	0	0			
Staff Costs	53,961	53,783	53,525	53,664	52,898
Other operating expenses	11,845	12,020	12,020	13,301	13,073
Property Costs	16,906	16,906	16,906	17,652	17,772
Exam Fees	1,269	1,269	1,269	1,321	1,321
Other operating expenses - Sale of Buildings	0	0	0	0	0
Depreciation	8,766	8,766	8,766	8,766	8,377
Total expenditure	92,747	92,744	92,486	94,704	93,441
Operating Surplus (Deficit)	(2,440)	(2,858)	(2,797)	(1,454)	(210)
(Loss) on sale of fixed asset	0	0	0	0	0
Operating Surplus/(Deficit) after loss sale of asset	(2,440)	(2,858)	(2,797)	(1,454)	(210)
Difference between historical cost deprn & the actual charge for the period	677	677	677	677	188
Historical cost Surplus / (Deficit) for the period	(1,763)	(2,181)	(2,120)	(777)	(22)
Pension Adjustments	0	0	0	0	0
Foundation Adjustments	0	0	(315)	(315)	(1,000)
NPD Balance Sheet debt	(4,700)	(4,700)	(4,700)	(4,700)	(4,700)
Revalutaion reserve	(677)	(677)	(677)	(677)	(188)
Depreciation - Net of deferred Grant	6,432	6,432	6,371	6,371	5,927
Underlying Operating Surplus / (Deficit)	(708)	(1,126)	(1,441)	(98)	17

CITY OF GLASGOW COLLEGE				TABLE B
	2020/21	2020/21	2020/21	2020/21
	12-month F'Cast July £000s	12-month F'Cast June £000s	12-month F'Cast Optimistic £000s	12-month F'Cast Pessimistic £000s
Income				
SFC Teaching Grants	40,222	40,381	40,222	40,222
SFC ESF	2,347	2,373	2,347	1,878
SFC FWDF	890	890	890	623
SFC Other	23,756	23,813	23,756	23,756
Fundable Tuition Fees	10,499	10,805	10,775	10,223
International & Commercial tuition fees	5,518	5,472	5,858	4,289
Other income	691	691	911	445
Catering & Accomodation	2,233	1,982	2,590	1,399
EU & International	869	757	1,043	695
Grant from Foundation	1,000	1,000	1,000	1,000
Investment income	15	15	15	15
Total income	88,040	88,179	89,407	84,545
Expenditure				
Staff Costs	54,315	54,238	53,539	55,103
Other operating expenses	11,577	11,622	11,720	11,386
Property costs	17,350	17,341	17,252	17,448
Exam fees	1,218	1,218	1,186	1,250
Depreciation	4,886	4,761	4,886	4,886
Total expenditure	89,346	89,180	88,583	90,073
Operating Surplus (Deficit)	(1,306)	(1,001)	824	(5,528)
(Loss) on sale of fixed asset	0	0	0	0
Operating Surplus/(Deficit) after loss on sale of fixed asset	(1,306)	(1,001)	824	(5,528)
SURPLUSES AND DEFICITS				
Operating Surplus/(Deficit)	(1,306)	(1,001)	824	(5,528)
Difference between historical cost depreciation and the actual charge for the period calculated on the revalued amount	677	677	677	677
Historical cost Surplus/(Deficit) for the period	(629)	(324)	1,501	(4,851)
Foundation Adjustments	(1,000)	(1,000)	(1,000)	(1,000)
NPD Balance Sheet debt	(5,011)	(5,000)	(5,000)	(5,000)
Revalutaion reserve	(677)	(677)	(677)	(677)
Depreciation - Net of deferred Grant	4,249	3,911	4,249	4,249
Underlying Operating (Deficit)	(3,068)	(3,090)	(927)	(7,279)
F'Cast Cash balance as at 31 July 2021	2,966	2,944	5,107	(1,245)

Risk Management Action Plan

Risk Description: Negative Impact of Brexit

Risk ID: 22

Owned by: VPCS/DCS

Review Date: Feb 2021

Update

Full Description:

The key sub risks of Brexit for the College are identified as follows:

1. Loss of European grant funding. The College will receive ESF grant funding of £2.3m in 20-21.
2. Loss of European Programme funding (Erasmus+, Leonardo, Marco Polo) Skills Development Scotland manage funds, which are partly supported by European Union money, and which Colleges access, for example, Modern Apprenticeships. Any reduction in funding such as this will impact on Region activity.
3. Loss of European contracts where our partner is EU funded (previous Malta contract)
4. Impact on shipping industry
5. CoGC EU Students – numbers in 20-21 is currently 1,381 from 30,137 (4.6%)
6. CoGC EU Staff – small number of EU staff (45 total headcount, 3.1%)

Treatment:

1. The Scottish Funding Council has responsibility for managing the European Social Fund (ESF) and the Youth Employment Initiative (YEI). SFC has said that they will work with the Scottish Government, colleges and universities to reduce uncertainty for students and institutions in both the short term and the longer term.
2. UK's participation in most of these is assured to the current Programmes' end dates in 2022. The longer term replacement of the Erasmus Programme is a risk for the College.
3. Securing new partnerships or contracts on EU funded projects will become more challenging.
4. As a leading provider of Maritime Education in the UK, we are actively engaged in discussion with the UK Chamber of Shipping to ensure that we can contribute, where appropriate, and take advantage, where new opportunities are emerging

5. We will monitor this minor risk in light of wider national developments
6. Given the current staff profile any change linked to Brexit will have a minor impact.

Commentary (Update):

The College stands to lose a significant amount of EU funding. At the current time it is unclear how or whether this gap will be filled however the Government have announced a replacement fund, Scottish Shared Prosperity Fund (SSPF). The details of the SSPF is currently being by the UK & Scottish Government and should be available to support project and initiatives from 2022.

We will continue to monitor the implications of BREXIT for the College and, as more detail emerges, ensure that we carry out analyses of the implications for students and the potential impact on income streams and overall strategic direction for the College, Region and for the sector.

The Brexit Risk Register for Colleges from SFC and is regularly reviewed.

Potential impacts

- Brexit will impact on the ability to retain and attract staff, who provide a wealth of experience and knowledge to the college sector.
- Implication for non-UK EU students who could be adversely affected by the outcome of the UK withdrawing from the EU. Recruitment of non-UK students may be an issue with greater immediate ramifications for the university sector, which could have knock-on consequences for the college sector.
- Risks around limiting engagement in positive cultural exchange visits. These programmes have wide ranging positive benefits beyond the educational impact.
- Colleges are taking forward readiness preparations guided by the Brexit checklist
- Re-state the college sector's readiness and willingness to be flexible and seek to support the Scottish Government, whatever the outcome and level of economic impact as a result of Brexit.
- Offer to contribute to the message that Scotland is 'open for business'.
- Need for colleges to consider how indirect investments that reach the college sector from local authorities or SDS may be impacted.

The UK officially left the EU on the 31st January 2020 and we are now in the transition ended on the 31st December 2020. There has been no short term negative impact on the College. Some areas of the UK and industries have experienced a negative impact with delays in the supply chain and increased bureaucracy.

There still remains great uncertainties on final outcomes, new trade agreements and longer term impact of Brexit.

The current COVID-19 crisis has reduced the focus on the discussion and future impact of the UK leaving the EU.

Current Risk Score:	Gross Risk Score (assuming no treatment)
Likelihood 5/5 Impact 2/5 Risk Score 10/25 Recommend change of the risk score from 5x2 to 3x3 RAG Rating: AMBER Target Score: 5	Likelihood 5/5 Impact 3/5 Risk Score 15/25
Risk Appetite (Willing to accept):	Risk Tolerance (Able to accept):
Low Medium High	Category: Finance? Low Medium 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 of Compliance with the General Data Protection Regulations (GDPR)

Risk ID: 24

Owned by: Depute Principal

Review Date: January 2021

Update

Full Description:

Failure to comply with the GDPR from its commencement in May 2018.

Detailed risks:

- Significant fines for non-compliance.
- The GDPR also makes it easier for individuals to bring private claims against organisations.
- Where we fail to comply there are clear reputational risks for the College both with external stakeholders and with our staff and students.

Treatment:

Clear implementation project. Extensive and CoGC bespoke training programme for staff to be rolled out.

May 2019: IA Report to Audit Committee: Recommendations to be completed to schedule.

Commentary (Update):

Failure to comply with GDPR could result in very considerable fines being imposed and the possibility of reputational damage.

A paper was included on the Audit Committee agenda (September 2017). The Risk Management Action plan was included on the College high level Risk Register from September 2017.

The impact of the GDPR is dependent upon the nature of an organisation's business, the personal data it processes and what it actually does with that data.

Update as of 31 January 2020

Guy Clinton, an experienced Data Protection Officer, has been in post since 19 August 2019, and, after conducting an informal Gap Analysis, has initiated tasks that are required for CoGC to meet 100% compliance with all UK & EU Data Protection Legislation. Many of these tasks are completed or nearing completion – reducing the College’s overall risk.

From 19/08/19 this includes:

Task identified	Completed by %	Target date for completion
Article 30 Records	75%	28/2/20
DSAs (Data sharing agreements)	90%	All are up to date
DPA (Data processing agreements)	100%	All are up to date
Privacy Notice updates	95%	Next update 30/4/20
Consent Project	15%	30/4/20
Training project (all staff, all modules)	35%	30/6/20
‘Heads of Privacy’ appointment, training and effectiveness	75%	20/12/20
CCTV project	50%	30/3/20
Data management	35%	30/6/20 = 80%
Archiving project	25%	30/4/20
SARs	95%	15/2/20
Breaches	0	N/A
Privacy Policies	75%	28/3/20
Procurement dept additions	100%	01/11/20
World Skills website	70%	30/02/20
DPIAs	65%	30/03/20

One of the main/major additional projects that has been identified to achieve full compliance is data management. The College has a substantial amount of inherited unstructured data that needs to be archived and or erased now or at a later date. SMT, ICT and the Data Protection Officer (DPO) are in the process of identifying Terabytes of data that can be erased or archived over the coming months. Outside of this there are no major non-compliance issues; rather, there are many minor non-compliance issues (minor only in that they are less important or because they are currently being worked on - not ignored or overlooked).

Update as of 15 April 2020

Guy Clinton, our DPO, was employed by HEFESTIS, a not-for-profit Shared Service organisation jointly owned by member institutions across the Scottish University and Colleges sectors. It provides shared services to institutions and where applicable to sector owned bodies. Without giving any prior warning to the College, HEFESTIS chose to terminate Guy Clinton's employment on 18 February 2020 on the grounds that he had 'failed' his probationary period.

Since 18 February, HEFESTIS have been responding to specific requests for information and advice, but have not been supplying a dedicated DPO.

The College now intends to cancel its contract with HEFESTIS and appoint its own DPO. The JD has been signed off, and progressing this urgent appointment during the closure will be considered at the next meeting of the Executive Leadership Team.

It is very disappointing that it has not been possible to progress any of the projects which Guy Clinton was leading in order to address the recommendations of the internal audit and to secure GDPR compliance since he left the College in February.

Update as of 19 August 2020

Due to the coronavirus outbreak, our plans to have a Data Protection Officer employed directly by the College were delayed. We are, however, about to advertise this post, and hope to be able to recruit quickly.

In the meantime, HEFESTIS have continued to provide advice on specific issues as they have arisen, but have not been able to support the development work which Guy Clinton had begun.

Update as of 25 November 2020

The Depute Principal reported to the Finance and Physical Resources Committee on the ongoing issues with regard to the appointment of a Data Protection Officer, which would be resolved soon. The FPRC agreed to retain the Risk score at 16 (RED) until this matter was resolved;

Update as of 13 January 2021

We advertised the DPO post but were unfortunately unable to appoint. However, before we readvertised we discovered that the College's current solicitors, Thorntons, offer a DPO service not unlike that supplied by HEFESTIS. This offers the advantages of cover during holiday periods and access to shared information networks, as well as the ability to bring in qualified solicitors -- at no additional cost -- to help when the workload is particularly busy. After a number of online meetings, it was agreed that we would buy into this service for three days a week for an initial trial period of six months, with effect from 7 December 2020. Since Thorntons are already contracted to us, there was no requirement for a tender exercise.

Morgan O'Neill, Director of Data Protection Services within Thorntons' specialist IP, Technology and Media Team, has extensive experience of DP issue in a range of large organisation, including Scottish universities. She has been working closely with the Depute Principal (to whom she reports) since becoming our DPO. In addition to supporting Subject Data Requests and Freedom of Information queries, and handling day-to-day queries from colleagues, she has developed the following work plan, and has arranged for a colleague, Emily Petin, to help review the College's Records of Processing Activity.

City of Glasgow College – Data Protection Work Plan

(5th January 2021 to 31st March 2021)

No.	Action	Details	Date for Delivery
1	Registration with ICO	Registration of Thorntons appointment with ICO was submitted to ICO in December 2020.	Dependent on ICO. Thorntons to monitor and follow up.
2	Training and Awareness	(i) Confirm training and awareness with SL. (ii) Arrange Comms with OD (iii) Delivery of Training	(i) Jan 2021 (ii) Jan/Feb 2021 (iii) March 2021
3	Review and update of ROPA	City of Glasgow's former DPO created c40 ROPA's for the College. These records need to be reviewed and updated and expanded to align with ICO's new ROPA template	28 th Feb 2021
4	Website Audit	Remove out of date references on website – to DPA 1998 and ensure DPO is signposted clearly. Identify areas of the website which may need to be updated to reflect UK exit from EU.	5 th Feb 2021
6	Brexit preparation	Raise awareness of importance of preparatory steps to be carried out to map EU to UK data flows	29 th January 2021 (with ongoing review and support)
5	Privacy notices and statements.	Review all internal and external facing data protection documentation and identify any gaps or areas where update/improvement required.	22 nd January 2021
7	Departmental Compliance Health Checks	Issue electronic data protection questionnaires to stakeholders across City of Glasgow College to capture data processing activities	12 th February 2021
8	Commence Gap Analysis	Gap analysis to commence in January 2021 to review City of Glasgow College Controls against the requirements of the GDPR and the ICO's accountability framework	March 2021 for delivery of gap analysis report to SL

Current Risk Score:

Likelihood 4/5
 Impact 4/5
 Risk Score 16/25
 RAG Rating: **RED**

Score increased to 16 (Red) in the absence of a dedicated DPO from February 2020, but can be reduced to 12 (Amber) with the appointment of a new DPO service.

NB Reviewed by Audit Committee 14/11/21 - score to remain RED until DPO appointed. DPO in place as at December 2020.

Target Score: 5

Gross Risk Score (assuming no treatment)

Likelihood 5/5
 Impact 5/5
 Risk Score 25/25

Risk Appetite (Willing to accept):

Low Medium High

Risk Tolerance (Able to accept):

Category: Compliance/ Reputation

Low Medium 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 manage acute threats relating to the coronavirus outbreak

Risk ID: 27

Owned by: Pr/DPr/CSP

Review Date: 11 February 2021

Update

Full Description:

1. The College fails to manage the acute, immediate and short-term threats resulting from the coronavirus/COVID-19 crisis.

Treatment:

1. A Covid-19 Action Group was established to manage implications of the coronavirus outbreak prior to campus closure.
2. SMT and ELT meet regularly* post-closure of buildings to manage the crisis as it affects City of Glasgow College, its students, staff and other stakeholders.
3. The Board and its Committees continue to meet* to schedule, to oversee management of essential functions, management of impacts, and preparedness for future functionality and delivery.

*Via VC

Commentary (Update):

The Senior Management Team prepared for the closure of the College campus sites, and for the continuance of College functions including learning and teaching delivery remotely. This was a largely successful transition to emergency arrangements. A live dashboard enables SMT/ELT and the Board to monitor a range of indicators, including student and staff engagements, log-on connections for staff and students, resulting, applications, etc.

27.1 Students in Halls of Residence

SMT and Halls staff managed the care and support of hundreds of students since initial lockdown in March 2020. The new restrictions and further lockdowns have had a significant impact on numbers living and leaving the HoR. Currently there are 80 students living as of January 2021, and very few Covid cases on site. The staff are continuing to provide, round the clock, support and care to those still residing with us. The team are also continuing to monitor the Scottish Government advice and guidance and communicate this to residents.

27.2 Students at Sea (to be updated)

247 officers, cadets, and ratings, enrolled as students at City of Glasgow College, are currently at sea, although most of these are considered to be on ships in "lay-up" in various ports worldwide. College staff continue to support these students.

27.3 Student Recruitment and Enrolment Activity

Conversation rates for full time enrolments at August 2020 were better than anticipated and student retention at December 2020 was good.

A significant number of evening and part time leisure programmes which could not be delivered online have been suspended. The College will need to consider how to re engage and re invigorate this market with full on campus engagement resumes.

Schools Programmes have also reduced by nearly 60%. Foundation Apprenticeship activity has been prioritised and is reduced by only 12%.

Full time applications for AY 2021/22 commenced on 13 January 2021 with no significant change in numbers at the same period last year pre COVID. Interviews will commence online in February. The intake for AY 2021/22 will include school leavers and applicants whose education and progression may have been impacted by COVID restrictions in 2019/20. Many will have predicted results.

The College will ensure that its widening access policies and procedures offer opportunity and support for these applicants.

27.4 Student Support

Student support across all enrolments has moved online. While there has been a dip in utilisation in some areas (counselling referrals) others have maintained or increased activity (support with UCAS applications).

All services are being promoted through a variety of media channels.

A new student communication procedure is helping to improve communication.

Monitoring and evaluation of support services has been increased throughout the COVID period to ensure that services are meeting student's needs. Feedback and collaborative work with City SA helps to ensure that support is targeted and that communication reflects student concerns.

27.4 Delivery of Learning and Teaching

A number of activities and developments have taken place to conclude (where possible) learning and teaching activities for academic year 2019/2020. In addition, there has been a significant amount of preparation for Blended Delivery model of learning and teaching, where teaching is delivered on-campus and online.

AY 2020-21:

Student recruitment numbers, and retention (at November 2020) are healthy.

Induction and transition support reflected realistic expectations of the year ahead, with a very different learning and teaching environment in prospect. Opportunities continue to be offered for students to develop digital skills which will allow them to fully participate in an accessible and engaging online learning and teaching experience. Significant cross functional planning and collaboration has taken place to develop an open source platform where all students can access information about the college and their courses. Learning and Teaching Guidance has been prepared for teaching staff including staff support for digital delivery, assessment, quality assurance, and student engagement. The resource is designed to be a 'live' document and will be added to and adapted over time.

The changed Learning and Teaching delivery model will have implications for the student experience as students will have less time on campus. This may be positive for some as timetables may be more efficient for students but may have negative consequences for creating student association and affinity with the college. With the change to curriculum delivery models there are implications for staff development.

27.5 Commercial/International Development

Contacts continue to be maintained with the College's commercial and international partners. As previously reported the target this type of activity was reduced, however indications are positive at this stage. As well as the planned activity, there has been movement in the number of Purchase Orders received from the National Maritime Academy (NMA) in Saudi Arabia. There is also movement in discussions with the Government of West Java in Indonesia to put in place a team of experts from the College to work with their educational department and a commitment from Bandari Maritime College in Kenya. Meanwhile activity with partners across China, Malaysia, Vietnam and India continues.

Domestically the college is still actively tendering and quoting for business across the public & private sectors.

27.6 College Finances

The Covid-19 pandemic has caused a massive financial impact on the College since the buildings closing on the 17th March 2020. The detailed Risk MAP 15 highlights key risks. The 2019-20 underlying operating deficit represented a substantially reduced loss due to maximising SFC funding, CJRS (furlough) funding, improved volume of online teaching and cost controls. The College has the highest proportion of non SFC income and unfortunately these income sources have suffered the greatest reduction from the closure and cancellation of courses. The College made no transfer to the College Foundation in March 2020.

The College believes there will be a substantial new demand for upskilling and reskilling in response to the economic recession and financial crisis. There is also a significant

increase in the SFC Flexible Workforce Development Fund (FWDF) of which the College received a significant increase, to £445,000 for 2020-21; however the continuing Covid-19 restrictions have delayed and reduced the short term demand for training. The Senior Management Team and staff will continue to maximise income, control costs and delivery efficiency savings.

27.7 People Issues & Payroll

Health, wellbeing and welfare remain primary consideration. All staff have access to line managers, resources, and the HR team for support. More activity has been developed and rolled out as we continually adjust to the current emergency situation.

The college continues to pay all employees; the payroll team (like others in the College) have adapted to the emergency working arrangements – paying people on time and accurately remains a priority.

167 FTE staff were placed on the UK Government furlough scheme, with the College ensuring no loss of pay for the staff involved. SMT continue to monitor and manage this initiative.

Staff Engagement:

All staff remain engaged, this is constantly being monitored to ensure health and wellbeing. Both formal and informal engagement remains with Trade Unions in order to engage, consult, and prepare for emerging issues and a return to the College.

27.8 IT

The maintenance of an effective IT function is essential for off-premise and on-premise working models. Overnight, the IT Team transitioned to a fully off-premise support model continuing to manage and support all technology aspects of College functions. This was achieved through the completion of a number of key projects including providing students with the ability to access their College-based coursework and files remotely. Staff remote-working projects included expediting the roll out of MS Teams to promote collaboration and provision of remote access to staff desk telephone extension to allow 2-way communication through the College telephony system.

A live dashboard displays dynamic data insights including; results completed, enrolments and offers, student engagement with My City, Library etc and staff engagement.

27.8 Governance/Management

SMT and ELT continue to meet regularly, and the Board of Management and its committees concluded their schedule of meetings remotely for 2019-20, with the Performance and Nominations Committee meeting through the summer months to receive and discuss key executive reports, and take decisions on behalf of the Board as necessary. A weekly report of SMT deliberations was sent to all Board members through the summer, and Board members have access to the dashboard (see above). Board and Committees have continued to meet via MS Teams into 2019-20. The Board and its Committees continue to meet remotely through 2020-21.

27.9 Business Continuity Planning

The Board and SMT have overseen a migration to remote working, learning and teaching, and all College operations, following closure of the College buildings on 17th March 2020, and again in December 2020. Recently reviewed and renewed business recovery planning, in place at the time of building closure, was highly beneficial in this migration process. Continued business continuity issues relate to the sector-wide (and global) financial impact of the crisis.

Operations protocols for the College Campus sites have been developed to minimise risk to staff students and visitors, as part of planning a limited return to building occupation. Estates teams (with FES) have planned and implemented measures to minimise risks associated with the movement of people, cleaning and hygiene, ventilation, airflow/filtration etc. Cleaning staff returned to work in July on a phased return basis, with other staff returning to campus at the start of session on a partial basis according to organisational requirements. In December 2021, the college once more reverted to full remote operations.

Risk Score: Update 22 September 2020:

In the light of the Principal's Report to PNC it was agreed to uplift the Risk Score by adjusting the likelihood to 4 from 3. This results in an overall Risk Score of 4x4=16 RED.

Update 25 November

Following consideration of all influencing factors, the Audit Committee agreed a revision of the Risk Score from the above to 4x4=16 (RED) to 3x4=12 (AMBER).

Current Risk Score:	Gross Risk Score (assuming no treatment)
Likelihood 3/5 Impact 4/5 Risk Score 12/25 RAG Rating: AMBER Target Score: 4	Likelihood 5/5 Impact 5/5 Risk Score 25/25
Risk Appetite (Willing to accept):	Risk Tolerance (Able to accept):
<u>Low</u> Medium High	Category: Business Continuity <u>Low</u> Medium 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				