

Board of Management

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| | |
| Date of Meeting | Wednesday 26 August 2020 |
| Paper No. | BoM1-C |
| Agenda Item | 3.3 |
| Subject of Paper | Strategic Risk Review |
| FOISA Status | Disclosable |
| Primary Contact | Paul Clark, College Secretary/Planning |
| Date of production | 19 August 2020 |
| Action | For Approval |

1. Recommendations

1. To review and approve the College Risk Register, high-scoring (RED) and specific Covid19-related risks.
2. To discuss the proposed increase to risk scores for Risks 1 and 26 (resulting in RED rating) and approve as deemed necessary.
3. To note the ongoing review of strategic risks, and the recent changes in some risk scores reflecting the current COVID-19 crisis , the associated impacts upon College operations and financial position, and the management of these.

2. Purpose of report

2.1 The purpose of this report is to enable a review of the College Risk Register, and provide the Board of Management, with an update on the high-scoring and Covid19 - related risks via Risk Management Action Plans (MAPs).

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, Board Committees, and the Board of Management. The risks listed on the Risk Register have been identified by SMT and Board Committees, as the current strategic risks faced by the College. The risks are aligned within the same framework of four strategic themes as the College Strategic Plan, and those included in the Risk Register and Matrix have potential impacts on one or more of the College's strategic priorities.

3.2 A full review of strategic risks is undertaken regularly by senior Risk "owners", senior managers as appropriate, and Board Committees. All Risk MAPs are updated accordingly and reported to the appropriate Board Committees. The commentary updates have been reviewed in August by the Board Performance and Nominations Committee (comprising the Board Committee Conveners, including the Board Chair and Vice Chair) and the Senior Management Team.

3.3 The Risk Register is attached, with latest Risk Scores as most recently revised.

3.4 Risk MAPs for the highest scoring risks are attached, RAG-rated RED. SMT/ELT is continuing to analyse and manage the known and potential impacts of coronavirus Covid19, in particular with reference to the risks noted below. There is one new Risk (27) relating specifically to the acute and immediate threats from the current crisis.

There are proposed increases to the risk scores of Risk 1 and Risk 26 below, which would result in a RED rating in each case.

- Risk 1 -  Failure to support student success. **Increased risk score is proposed.**
- Risk 6 -  Negative impact upon College reputation.
- Risk 7 -  Failure to achieve improved business development performance with stakeholders
- Risk 26 -  Failure to achieve taught degree awarding powers. **Increased risk score is proposed**
- Risk 12 -  Failure of Business Continuity.
- Risk 24 -  Failure of Compliance with GDPR

- Risk 15 - ■ Failure to achieve operating surplus via control of costs and achievement of income targets.
- Risk 16 - ■ Failure to maximise income via diversification
- Risk 27 - ■ Failure to manage acute threats relating to coronavirus outbreak

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.

4.2 Several strategic risks are financial and developmental in nature, and potentially constitute a threat to the College's stated strategic priority to "Maintain our long-term financial stability" and "diversity of income and sustainable development" (Ref College Strategic Priorities 7 and 8). These risks and associated management action plans currently reflect the actual and projected consequences of the Covid-19 crisis.

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

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

Appendices:

Appendix 1: Risk Register (at 19 August 2020)

Appendix 2: Selected Risk MAPs as above

Risk Register: 19 Aug 2020

| 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 | Proposed increase @8/20 | Risk 1 MAP.docx | Aug'20 |
| Students | Failure to establish optimal pedagogical model | 2 | 1 | VPSE | 1 | 5 | 5 | 20 | 5 | | Risk 2 MAP.docx | Aug'20 |
| Students | Failure to achieve good student outcome/progression levels | 3 | 1 | VPSE | 2 | 5 | 10 | 15 | 5 | | Risk 3 MAP.docx | Aug'20 |
| Students | Failure of the College's Duty of Care to Students | 21 | 1 | VPSE | 1 | 5 | 5 | 20 | 4 | | Risk 21 MAP.docx | Aug '20 |
| Growth and Development | Failure to realise planned benefits of Regionalisation | 4 | 1 | Pr/DPr | 3 | 3 | 9 | 20 | 3 | | Risk 4 MAP.docx | Apr '20 |
| 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 | Aug '20 |
| Growth and Development | Failure to achieve improved business development performance with stakeholders | 7 | 1 | VPCDI | 5 | 5 | 25 | 25 | 5 | Amber to RED DC 4/20 | Risk 7 MAP.docx | July '20 |
| Growth and Development | Failure to achieve improved performance | 8 | 1 | VPSE/DirP | 2 | 5 | 10 | 20 | 5 | | Risk 8 MAP.docx | Aug'20 |
| Growth and Development | Failure to attract, engage, and retain suitable staff | 9 | 1 | EDHR | 2 | 2 | 4 | 20 | 3 | | Risk 9 MAP.docx | May'20 |
| Growth and Development | Failure to achieve taught degree awarding powers | 26 | 1 | VPCS | 3 | 4 | 12 | 20 | 3 | Proposed increase @8/20 | Risk 9 MAP.docx | Apr'20 |
| Processes and Performance | Negative impact of statutory compliance failure | 10 | 1 | CSP | 2 | 5 | 10 | 20 | 5 | | Risk 10 MAP.docx | May'20 |
| 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 | Apr'20 |
| Processes and Performance | Failure of Corporate Governance | 11 | 1 | Pr/CSP | 1 | 5 | 5 | 20 | 5 | | Risk 11 MAP.docx | May'20 |
| 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 | July '20 |
| Processes and Performance | Failure to manage performance | 13 | 1 | VPSE/DirP | 1 | 4 | 4 | 20 | 4 | | Risk 13 MAP.docx | Aug'20 |
| Processes and Performance | Negative impact of Industrial Action | 14 | 1 | VPCS | 3 | 4 | 12 | 25 | 4 | | Risk 14 MAP.docx | May '20 |
| Processes and Performance | Failure of IT system security | 25 | 1 | VPCS | 2 | 5 | 10 | 25 | 5 | | Risk 25 MAP.docx | May'20 |
| Finance | Failure to achieve operating surplus via control of costs and achievement of income targets. | 15 | 1 | VPCS | 5 | 5 | 25 | 25 | 4 | Score incr. 9 to 25 AC 05/20 | Risk 15 MAP.docx | July '20 |
| 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 | July '20 |
| Finance | Failure to obtain funds from College Foundation | 20 | 1 | VPCS | 1 | 4 | 4 | 20 | 4 | | Risk 20 MAP.docx | May'20 |
| Finance | Negative impact of Brexit | 22 | 1 | VPCS/DCS | 5 | 2 | 10 | tbc | 5 | | Risk 22 MAP.docx | May'20 |
| 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'20 |
| ALL | Failure to manage acute threats relating to coronavirus outbreak | 27 | 1 | Pr/DPr | 3 | 4 | 12 | 25 | 4 | New Risk | | July '20 |

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
 DirP - Director of Performance
 DCS - Director of Corporate Support
 AAC - Audit & Assurance Committee

| 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

| 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 | |

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 student success

Risk ID: 1

Owned by: VPSE

Review Date: August 2020

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 2016/17 to 2017/18 indicated 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. Figures for 2019-20 to follow.

| Level | Mode | Completed Successfully* | | | | | | | Change | Change |
|-------|------|-------------------------|-------|-------|-------|-------|-------|-------|----------------|----------------|
| | | 12-13 | 13-14 | 14-15 | 15-16 | 16-17 | 17-18 | 18-19 | 17-18 to 18-19 | 12-13 to 18-19 |
| FT | FE | 60% | 70% | 72% | 72% | 69% | 68% | 66% | -2% | +6% |
| FT | HE | 70% | 74% | 76% | 76% | 74% | 74% | 72% | -2% | +2% |
| PT | FE | 68% | 75% | 77% | 87% | 88% | 87% | 86% | -1% | +18% |
| PT | HE | 76% | 84% | 83% | 81% | 83% | 82% | 82% | 0% | +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.

Internal guidance has been circulated to staff, following SQA guidance (28 April 2020).

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.

An increase in withdrawal rate is anticipated therefore consideration should be given to an increase in Risk Score likelihood to 3 or 4 (from VP Student Experience).

| | |
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| 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): |
| <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: Negative impact upon College reputation

Risk ID: 6

Owned by: VPCDI

Review Date: 6 August 2020

Update

Full Description:

1. Failure to protect and maintain the brand.
2. Complaint to Scottish Public Services Ombudsman upheld
3. Significant breach of College policies & procedures.
4. Gross misconduct of a member / members of staff.

Treatment: (new text highlighted)

1. The Associate Director for Brand & Communications is continually reviewing the operational elements and structure and roles of the team to ensure that there is a maintained and relevant voice and promotion across our social media platforms.
2. Our Public Affairs company (Dram Communications) has been extremely effective to date and have been assisting the team with public affairs and strategic positioning that the college requires at this time.
3. College Complaints Procedure to be available and communicated to all employees; train staff, including managers in operation of college policies & procedures, including legal requirements.
4. Management monitoring and control supported by the work of the College internal and external auditors.
5. Embedding College values and behaviours supported by robust College policies & procedures.

Commentary (Update):

The College currently enjoys an excellent external reputation based on performance, facilities and the work of the Corporate Development and extended college staff.

1. New Complaints procedure agreed and implemented in line with developments in SPSO framework for FE.
2. The College Complaints Report is now published via the College Website, in line with SPSO requirements.
3. Further staff training now in place to support implementation of SPSO model complaints handling procedure.
4. Through various media monitoring platforms the College continues to monitor its coverage, reputation and positioning within the marketplace on a daily basis using Vuelio, who were awarded the contract in 2019. Since lockdown the College has seen its Social Media footprint increase across the student body with 5000 new followers on Twitter alone.

5. Ongoing press/media activity relating to the College's response to Covid-19 is taking priority at this time.
6. Positive press coverage relating to a range of staff and student led activity is continuing each week.
7. The latest College Annual Report 2018-19, highlighting various College, student, and staff successes, published in February 2020.

At 8 May 2019:

An internal review revealed some suspected fraudulent activity, reported to the Audit Committee (29/4/19), which is the subject of ongoing further detailed investigation and audit. All relevant parties were informed, including the Police who are now treating this as a suspected criminal act. It is envisaged that there may be negative reputational impact near the completion of this investigation. The College has developed a PR/Crisis plan to mitigate reputational risk which will include working with the media to ensure that the key facts of this case are presented at the correct time.

At 15 May 2019

The Audit Committee received the Principal's report on the above matter, and agreed the recommendation to increase the risk score to 3x5= RED.

At Sept 2019

The Principal continues to keep the Committee and Board of Management up to date with ongoing investigations, and report due dates, as far as is known and appropriate for dissemination.

March 2020: College campuses closed.

July 2020: College communications have remained consistent and relevant throughout the lockdown period with regular updates to the Staff/Student FAQ's on the website. Also launched is the new Staff Resource Hub which has greatly assisted in reaching staff and helping obtain robust feedback to inform decision making and next steps for re-integration into the College.

| Current Risk Score: | Gross Risk Score (assuming no treatment) |
|--|---|
| Likelihood 3/5 | Likelihood 5/5 |
| Impact 4/5 | Impact 5/5 |
| Risk Score 12/25 | Risk Score 25/25 |
| RAG Rating: AMBER | |
| Impact reduced from 5 to 4 (PNC 5 August) | |
| Target Score: 5 | |

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| Risk Appetite (Willing to accept): | Risk Tolerance (Able to accept): |
| <u>Low</u> Medium High | Category: Reputation <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 improved business development performance with stakeholders

Risk ID: 7

Owned by: VPCDI

Review Date: 29 July 2020

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:

- International/Global reach
- Commercial & Business Development
- Sponsorship and Influence
- 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.

March 2020: College campuses closed.

Business Development activity during lockdown has been consistent with some areas being unexpectedly busy. The team have submitted numerous quotes and tenders across the Maritime area, particularly overseas but also submitted some domestic tenders. The FWDF team have particularly proactive during lockdown with over 40 courses being developed to be delivered online. In the month of August the following activity is scheduled to be undertaken remotely:

84 courses in total worth approx. 94k
 66 courses confirmed approx 64k
 14 courses postponed 23k
 4 courses still working on approx. 7k

Year3 deadline has been moved back from 31st December 2020 to 31st July 2021 and we are expecting confirmation that the funding allocation be increased from £10M to £20M. It is therefore anticipated that City's allocation will be £1.8M.

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 have now had regular contact with partners in Malaysia, India and Vietnam with new MOU's being signed during July.

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|---|---|
| Current Risk Score: | Gross Risk Score (assuming no treatment) |
| Likelihood 5/5 Impact 5/5 Risk Score 25/25 RAG Rating: Increased to 25 RED score (Devt Committee April 2020) 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: Change and Development Activities 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 Business Continuity

Risk ID: 12

Owned by: VPCS/CSP

Review Date: 30 July 2020

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)

| | |
|--|--|
| Current Risk Score: | Gross Risk Score (assuming no treatment) |
| Likelihood 3/5 (change from 5, as below) Impact 4/5 (change from 5, as below) 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 of Compliance with the General Data Protection Regulations (GDPR)

Risk ID: 24

Owned by: Depute Principal/DPO

Review Date: April 2020

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.

| Current Risk Score: | Gross Risk Score (assuming no treatment) |
|---|---|
| Likelihood 4/5 Impact 4/5 Risk Score 16/25 RAG Rating: RED | Likelihood 5/5 Impact 5/5 Risk core 25/25 |
| Score increased from 8 (Amber) following IA report on Data Protection May 2019; and increased to 16 (Red) in the absence of a dedicated DPO from February 2020. | |
| Target Score: 5 | |

| | |
|---|--|
| Risk Appetite (Willing to accept): | Risk Tolerance (Able to accept): |
| <u>Low</u> Medium High | Category: Compliance/ Reputation <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 maximise income via diversification

Risk ID: 16

Owned by: VPCS/ VPCDI

Review Date: 29 July 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. Reviewed by FPRC 27 May 2020.

| | |
|--|---|
| 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 |

| | | | | | |
|--------|---|------------|----|----|----|
| | 5 | 10 | 15 | 20 | 25 |
| Impact | 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) |
| Revaluation 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: Failure to achieve operating surplus via control of costs and achievement of income targets

Risk ID: 15

Owned by: VPCS

Review Date: July 2020

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 1).

Operating Surplus/Deficit

The College achieved an operating surplus in the Resource Return at 31st March 2019 and delivered an underlying operating surplus in the 2018-19 annual accounts.

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 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 have suffered the greatest reduction from the closure and cancellation of courses. The College made no transfer to the College Foundation in March 2020.

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. There is also the high probability of a significant increase in the SFC Flexible Workforce Development Fund (FWDF). 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 5/5 Risk Score 9/25 RAG Rating (Overall): RED Risk score approved by Audit Committee May 2020 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 | | | | | 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) |
| Revaluation 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 & Accommodation | 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) |
| Revaluation 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: Failure to achieve taught degree awarding powers (tDAP).

Risk ID: 26

Owned by: DPr/DtDAP

Review Date: August 2020

Update

Full Description:

1. The College fails to achieve taught degree awarding powers (tDAP).

Treatment:

1. A project Board has been established, led by Principal Little, with ELT, HR, Students' Association and Board member representation. The Project Sponsor is the Depute Principal, Dr Sheila Lodge. A Director of tDAP has been appointed and reports to the Depute Principal.

Commentary (Update):

A risk register has been developed for the tDAP project comprising the risk areas outlined below. These areas include the tDAP criteria set out by the Quality Assurance Agency, against which the College's application will be assessed.

The risk assessments provided below, with RAG status indicated, reflect the current overall risk evaluation of specific tDAP project risk areas, drawn from the assessment of detailed risks from the tDAP Risk Register.

26.1 Communication

RED

An internal communications approach and plan have yet to be established.

26.2 Academic Staffing

RED

Development of an "Academic Community" is still at early stages. This involves qualities, competencies, and engagement, in pedagogic and professional development. The survey of staff qualifications and experience has been delayed by issues around iTrent, and new vehicles for the results of the survey are being considered. However, it is important that the communications strategy be completed and implemented before the survey is attempted, to avoid misunderstandings and misrepresentations.

26.3 Administrative Systems

AMBER

This relates to quality assurance, and the infrastructure to enable the delivery of quality assurance.

26.4 Governance/Management

AMBER/GREEN

The project management approach, currently PRINCE 2, was reviewed in January 2020, and a slimmer, more agile version has been adopted.

26.5 Quality Assurance

RED/AMBER

The project is at an early stage of establishing comparability of standards with other providers of equivalent level programmes (HE).

26.6 Financial

AMBER/GREEN

An updated business case with 10-year financial projections has been prepared and was presented to the Learning and Teaching Committee in January 2020.

Note:

The College will submit its application for tDAP only when the Project Board is confident that it will be successful. There is no external deadline, and although ELT is keen to achieve tDAP as soon as possible, it is a question of 'when' rather than 'if'. This has a bearing in the current risk score below.

Update at 19 August 2020:

Given the challenges posed by the coronavirus pandemic and operating in lockdown, the decision to pause active work on our application for taught degree awarding powers was taken in March 2020. With her agreement, the Director of tDAP was placed on furlough.

The Director is on a fixed term contract for 18 months, and this expires in October 2020. In the light of our current circumstances, the decision not to renew the Director's contract has been taken.

Our commitment to seeking tDAP remains undiminished, and we are considering a number of options for taking this forward.

It is therefore proposed that the Risk Score likelihood be increased to 4, making the overall Risk Score 16 (RED)

Current Risk Score:

**Gross Risk Score
(assuming no treatment)**

| | |
|---|---|
| Likelihood 3/5 Impact 4/5 Risk Score 12/25 RAG Rating: AMBER Proposed risk score 4x4=16 RED Target Score: 5 | Likelihood 5/5 Impact 4/5 Risk Score 20/25 |
| Risk Appetite (Willing to accept): | Risk Tolerance (Able to accept): |
| Low Medium High | Category: Business Continuity 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 coronavirus outbreak

Risk ID: 27

Owned by: Pr/DPr/CSP

Review Date: 29 July 2020

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. While this is a developing position at 30 July 2020, the indications are that 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, resulting, applications, etc,

27.1 Students in Halls of Residence

SMT and Halls staff managed the care and support of hundreds of students since lockdown. There are currently 29 residing in the Halls of Residence (9 at Riverside; 20 at St Luke's) and the team have been closely monitoring and following Scottish Government advice and guidance. Students are now allowed to return to the Halls to collect their belongings. However, there has been a number of bookings made by returning students from September onwards. Over 80 bookings have been received to date.

27.2 Students at Sea

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 Support

The Student Services team has been hard at work staying in touch with applicants and providing them with vital information prior to the start of their course. This includes a welcome postcard sent by post to all new students, a Funding ezine, Accommodation guide, Zoom drop-in sessions for Careers advice, a Self Care wellbeing ezine and an introduction to the Students' Association.

Funding ezine -

<https://view.pagetiger.com/cogc-grfc-funding-edition-e-zine/get-ready-for-college-funding-e-zine-pt>

Accommodation guide -

https://www.cityofglasgowcollege.ac.uk/sites/default/files/SS_Student_Acc_20_21_digital_June20_v3%20%281%29.pdf

Self Care ezine -

<https://view.pagetiger.com/grfc-self-care-e-zine/final>

The Student Services directorate, in conjunction with Learning Technologies, have now created a new Open Learn access VLE for applicants to access pre-induction information prior to the start of their course -

<https://openlearn.cityofglasgowcollege.ac.uk/>

Our 24/7 digital mental health support service with the “Big White Wall” continues to be an extremely helpful resource for both students and staff with 600 new registrations in the past four months.

An update on our Student Applications is as follows: 9,231 offers have been made for 7,100 places. 8,881 offers have been accepted which is 125% of places available. 5,811 have pre-enrolled which is 65% of accepted offers and a 41% increase from 2019-20 pre-enrolments at this time.

To date 89% of FE offers have activated a bursary application. We continue to support students with discretionary funding to help support them over the summer and while employment opportunities may be less than normal.

All new students have been contacted to apprise them of equipment and software requirements for their courses. Staff are monitoring which students may require support with access to equipment or WiFi connectivity and will be contacting these students to provide them with options to support them with this.

The Students' Association held their end of year Summit and awards ceremony which has been viewed **1,088** times. This was our first year for our staff awards. You can see it again here: <https://www.facebook.com/cogcsa/videos/583164625947080/>. City SA is also busy with induction and planning with the new Presidential team.

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.

Completion of AY 2019-20:

For assessment and resulting this year a whole new method of holistic assessment and professional judgement had to be developed and employed by staff across the College. The Performance team developed detailed guidance for teams and where possible all students were progressed using gathered evidence. In some instances more 'difficult cases' were referred to newly constituted Internal Quality Assurance Panels (37 in total). These panels all took place week between 8 June and 19 June. Arrangements have been made to enable Deferral Students to complete their studies and progress.

Preparation for AY 2020-21:

Recruitment numbers appear healthy at 23 July 2020. Applications currently sit at 17,332 down 3% on last year at same time, however, offers accepted sit at 8,881 up 19% on last year. Recent marketing campaigns have focussed on low recruiting courses to generate interest and hence applications. Intense work has also been aimed at encouraging students to 'pre-enrol' onto their course (at 23 July, pre-enrolments stand at 5,811 out of a maximum 7100). The College's first virtual Open Day will be held on 10 August.

Induction and transition support will reflect realistic expectations of the year ahead, with a very different learning and teaching environment in prospect. Opportunities will 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 it is unlikely the target for Commercial/International will be met for session 2020/21, however the team have been experiencing interest from a number of partners across South East Asia who are keen to get projects moving. Also, some of the partner countries are in a better position in dealing with COVID than mainland Europe, therefore are back on campus and operating with students in class. MOU's have recently been agreed with the Government of West Java to explore

curriculum development and Institutional MOU's have been signed with Colleges in Malaysia, Vietnam and India.

Domestically the college was successful in re-tendering for the Glasgow Caledonian Languages contract worth £1.7M over 3 years. There have also been a number of quotes put forward for tenders with Local Authorities across Scotland.

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 (July 29 2020) highlights key risks, and the current 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 in Risk MAP 15 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 have suffered the greatest reduction from the closure and cancellation of courses. The College made no transfer to the College Foundation in March 2020.

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. There is also the high probability of a significant increase in the SFC Flexible Workforce Development Fund (FWDF). 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 is anticipated 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.

225 staff have been 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 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 is sent to all Board members, and Board members have access to the dashboard (see above).

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. 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.

| Current Risk Score: | Gross Risk Score (assuming no treatment) |
|--|---|
| Likelihood 3/5 Impact 4/5 Risk Score 12/25 RAG Rating: AMBER | Likelihood 5/5 Impact 5/5 Risk Score 25/25 |
| Target Score: 4 | |

| | |
|---|--|
| 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 | | | | |