Appendix 1. Orkney College Risk register - March 2018 Update

		Orkney College Risk I	register - March 2018 Update Orkney College UHI	TIMESCALE 3 Years								ACTION PLA	N Assign an acti	ion owner who is the pe	rson responsib	le for completing	the identified activ	on and select a rea	alistic completio	on target date	Please input info	rmation about n	planned future acti	ons to reduce the ri	ik score	
Ref ID	s	Risk Description	Causes	Impacts/Evidence	-			Actions to minimise risk in place	-		× -	Actions to			ctions to		Completion	Actions to		Completion	Actions to		Completion	Actions to	Action	Completion
	Risk Statu Category				Owner Likelihood	Impact	Gross Rish GR Rank		Likelihood	Residual Impact	Residual Ri GR Residua Pank	minimise risk/To Do (1)	Owner (1)	ri (1	ninimise isk/To Do 2)	Owner (2)		minimise risk/To Do (3)			minimise risk/To Do (4)	Owner (4)		risk/To Do (5)	Owner (5)	Date (5)
Orkney College UHI/2	Active Academic	Failure to achieve planned student numbers	The College exceeded its core FE target in 2016/17 with additional FE activity funded through ESIF. HE student FTEs were slightly below target in 2016-17 below target. Targets for 2017/18 have been reviewed (some up, some down) and signs are that the HE targets will be achieved for 2017/18. FE targets should be met as long as short course enrolments are buoyant in the second half of the year.		Principal 2-Unlikely	m	^{ن 2}	 Procedures in place for student recruitment including targets for student numbers An efficient admissions system A robust student record system 	2-Unlikely	3-Significant	۰ 2	A quality online prospectus	Manageme			College Manageme nt Team	01/08/2018	Introduction o new ESIF funded course	Managem		6 Close monitoring of FE Credits to ensure on target and if need be increase number of short courses run.	nt Team	01/05/2018			
Orkney College UHI/3	Active Academic	Failure to maintain/improve teaching quality	The College received a very positive Education Scotland Review in March 2014 and positive report on progress againsty the main points for action each of the Annual Engagement visits since. Changes in the Education Scotland evaluation procedures took place for 2016-17. The College self-evaluation of Very Good' in the three main quality indicators was endorsed by Education Scotland. of May 2015. All staff engage in self-evaluation which is crucial to providing an early alert to any areas of concern. Performance Indicators for 2016-17 show an increase in attainment of full-time FE students over the previous year.	Good' endorsed by Education Scotland. Positive Pis that compare well with National Pis		· m	^m 3	 Develop modern teaching methods including appropriate use of ICT Recruit quality staff and continue professional development Well equipped teaching accommodation Modern Library, computing and other learning resources. 	1-Very Rare	3-Significant	^m 3	Clear cours level reporting procedures (reviewing FE and HE with UHI)	Manageme nt Team	re O W	mbedding f peer eview. Ingoing rork in 017/18	College Manageme nt Team		Monitor changes to Education Scotland quality procedures and adapt OC systems accordingly	College Managem ent Team		8					
Orkney College UHI/4	Active Organisational	Inability to maximise the contribution of staff	Staff regularly undertake staff development activities throughout the year. Progression opportunities in a small island based college are quite limited as there is little turnover of staff. Careful monitoring of timetables is necessary to ensure full utilisation of staff. The full implications of National Bargaining are yet to be understood in terms of staff utilisation. As a small college with small class sizes optimum deployment of staff resource is critical.	undertaken each Semester - almost all staff fully deployed.	Principal 2-Unlikely	3-Significant	° 2	• CPD • Good Internal Communications • Professional Development Reviews • Efficient timetabling of teaching time • Introduce computerised timetabling package CELCAT	2-Unikely	2-Minor	4 3	Clear procedures for staff developme t		p C b m a	metabling ackage	Principal / College Manageme nt Team		In consultation with staff consider redeployment from areas of declining activity to new with appropriate development	Managem ent Team		8					
Orkney College UHI/5	Active External		level the unit of resource is decreasing slightly for 2018/19. The funding methology for FE changed in August 2015 with a move from wSUMs to Credits. The SFC is still considering the level of remoteness funding for island and rural colleges and internal	National Bargaining requires significant additional funding to meet the year on cost increases until 2020 followed by a need to ensure long term sustainability as transition funding is reduced in the period 2020- 22.	CMT/CMC 44	4-Major	9F 1	 Need to produce a sustainability model for the College to meet the costs of National Bargaining Responsiveness to changing funding body requirements Review College Organisational structures to meet changing needs 	3-Possible	3-Significant	ص ۵ 2	collaboratio	5	o N B ti si r r r r		i Manageme nt Team		Ensure that staff are fully deployed to minimise any unecessary teaching costs	Managem ent Team		8 Ensure College organisation al structure is effective to make full use of staff		01/12/2018			
Orkney College UHI/6	Active Financial	Failure to detect fraud	The College is subject to the governance of Orkney Islands Council and the monitoring and audit requirements of the Council. This does not preclude any fraud but the greatest risk is likely to be small scale rather than institutional in nature		Principal 1	2	~ 3	 Sound internal control system Comprehensive updated financial regulations Effective internal audit Effective external audit Complacence with Orkney Island Council financial regulations 	1-Very Rare	2-Minor	~ 3	Continued monitoring of the college finances and expenditurn by College Manageme nt Council and Orkney Islands Council	g Manageme nt Team, Internal Audit (Orkney Islands Council)	01/08/2018												
Orkney College UHI/7	Active Financial	Insufficient funds for capital building requirements	Significant reduction in capital / maintenance funding for FE places additional strain on revenue funding for 2016/17. The College has a long term maintenance plan with OIC but limited capital funds mean that only essential work will be undertaken in 2016/17. Priority for accommodation are space for Archaeology Institute and Student Accommodation.		Principal 3	m	٥ 2	 A realistic capital programme Evaluations of funding options Link to budget and finance management policies 	2-Unlikely	3-Significant	¹⁰ 2	Forward maintenand e plans for existing estate. Review	c Manageme	h	xplore tudent ousing ptions	College Manageme nt Team	01/12/2019	Explore Archaeology Institute accommodation	ent Team		8					

UHI STRATEGIC RISK REGIS	STER TEMPLATE	Orkney College UHI	TIMESCALE 3 Years								ACTION PLAN	Assign an actio	on owner who is th	e person responsi	ble for completin	g the identified acti	ion and select a rea	alistic completio	n target date	Please input infor	mation about p	lanned future act	ons to reduce the ris	x score	
atus	Risk Description	Causes	Impacts/Evidence	rer lood	act	yr yr	Actions to minimise risk in place	lual vood ual	act I Risk	idual		Action Owner (1)	Completion Date (1)	Actions to minimise	Action Owner (2)	Completion Date (2)	Actions to minimise	Owner (3)	Completion Date (3)	minimise	Action Owner (4)	Completion Date (4)	minimise	Action Owner (5)	Completion Date (5)
Risk St Categ				Owner Likelihoo	Impa	GR Rank		Resid Likelih Resid	Residua	GR Res Ran	risk/To Do (1)			risk/To Do (2)			risk/To Do (3)			risk/To Do (4)			risk/To Do (5)		
Orkney College UHI/8 UHI/8 O O O O	Inability to recruit staff	National Pay Bargaining is a declared priority of the Government for the college sector. The Council has agreed to shadow National Bargaining. The impact of this on Orkney College financially and in terms of staff terms and conditions is being appraised, with the need to establish a sustainable model of operation of the College for the future. Adoption of National salaries should aid recruitment of staff but the challenge is to do this in a sustainable way.	being implemented.	Principal 2	4 0	2	Recruitment and selection policies Staff Planning Targeted advertising OIC Single Status	2-Unlikely	2-Minor 4	3		College Manageme nt Team	01/07/201	6 Monitor employment trends and information of labour market trends	OIC HR / College Manageme nt Team		Implement shadowing of National Bargaining in a sustainable delivery mode	a	01/12/2019)					
Orkney College UHI/9 Guganisational Organisational	Inability to retain staff	Generally there is little turnover of staff in the College, however changes in national terms and conditions for college staff will need to be followed closely to evaluate any implications for Orkney of National agreements between Colleges Scotland and the staff unions.		Principal 2	mu	2 2	 Recruitment and selection policies Staff Planning Targeted advertising OIC Single Status National Bargaining 	2-Unlikely	2-Minor 4	3	equality of employmen		01/12/201	8 Monitor employment trends and information on labour markets	OIC HR / College Manageme nt Team		Continue to raise profile of college as a good employe	f Managem ent	01/07/2018	³ Implement shadowing of National Bargaining in a sustainable delivery model		01/12/2019			
	Failure to maintain financial viability of the college	The greatest ongoing financial risk rests with research areas expenditure exceeding income. The risk is principally uncertainty of research income. Another major financial risk is the ability to manage the significant additional costs relating to National Bargaining. The College finished the financial year 2016/17 with an overall surplus of circa £50k, however the long term cost of National Bargaining will require the College to review its operating model to be sustainable beyond the three year SFC National Bargaining transition period.		Principal 3-Possible	4-Major	⁴ 2	 Rigorous budget setting procedures Adequate budgeting monitoring and corrective action where necessary Financial regulations and internal controls Effective internal and external audit Effective and efficient deployment of staff Undertaking cost saving actions when necessary 	3-Possible	3-Significant 9	2	Monitor optimisatio n of income streams			8 Maintain provision of work based employer funded and SDS funded provision.	College Manageme nt Team	01/12/2018	Review viability of FE and HE courses where student numbers are low.	ent Team	01/07/2018	sustainable	College Managem ent Team	31/07/2019			
	Failure to meet payments as they fall due	The risk of being unable to meet payments as they fall due is low as the college is not incorporated and falls under the auspice of Orkney Islands Council. However the future viability of the college depends on achieving a balanced budget on a regular basis.		Principal 1	2 5	4 3	 Robust setting of capital and revenue budgets Financial monitoring Cash flow projections Prompt invoicing 	1-Very Rare	2-Minor 2	3															
Orkney College UHI/12	Severe adverse publicity	The college has good relations with the media locally and is well appreciated in the local community. The quality of teaching and learning is high and the college has a good reputation for student achievements. Quality Assurance systems are continually being reviewed however, as quality of provision is seen as the greatest potential source of adverse publicity should there be a failure to maintain expected standards.		Principal 1	σ, n	° 3	Quality assurance policies and procedures Seek to maintain good working relationships with the media Prompt responses to issues	1-Very Rare	2-Minor 2	3		College Manageme nt Team	01/07/201	8 Maintain good relationships with all external bodies including the media	College Manageme nt Council	01/07/2018									
	Severe Business Disruption/Disaster Recovery	Business systems - following a major incident the vast majority of key college business is retrievable within 48 hours. The college computer system is backed up locally as well as at the UHI central server data. This includes student records and a high percentage of learning materials used by staff. Financial records are kept locally within the College and with the Orkney Islands Council located approximately 1 mile way. Staff awareness of procedures to follow in case of severe business disruption is however low and work needs to be done to rectify this. The greatest risk to continuity of service would be a large scale fire as finding suitable alternative accommodation for large numbers of classes and students would be very difficult. To mitigate this risk the College has introduced an auto dialling unit to the fire alarm system.		College Mgt. Team 1	4 <	2	Recovery/ Emergency Plan Staff Awareness Access to alternative IT sources, e.g. most staff have personal computers with internet access so could work from home List fully possible alternative arrangements for work bases, including the use of temporary portakabins	1-Very Rare	3-Significant 3	3	Review and update recovery/e mergency plan. Particularly in in relation to electronic data recovery.	Manageme	01/08/201	8 Ensure staff are aware of holding secure backups of ai key data, within the specification of the data protection act.	Manageme nt Team	01/08/2018	Update Disaster Recovery Plan and test	College Managem ent Team	01/07/2018	3					
	Severe Business Disruption/Disaster Recovery	Estate - in the case of the disruption affecting use of the estate the college would, where practical make alternative accommodation arrangements. Examples of this could include accessing the Kirkwall Grammar School, St Magnus Centre, Town Hall to utilise classrooms. In the case of departments using specialist equipment at schools may be able to assist in some instances e.g. Hospitality and for other e.g. Construction some local businesses have indicated willingness to allow trainees to access their premises and facilities.		Principal 1	4	7 2	Outline plan List fully possible alternative arrangements for work bases Complete inventory of property to easily identify items to be replaced		3-Significant 3	3	Add detail to recovery/ emergency plan, in particular to reflect department needs.	Manageme		5 Complete Business Continuity Plan for the College	Principal	01/10/2018									

UHI STRATEGIC RISK REG	SISTER TEMPLATE	Orkney College UHI	TIMESCALE 3 Years								ACTION PLA	N Assign an ac	tion owner who is the	e person responsi	ble for completi	ing the identified acti	ion and select a rea	alistic completion	on target date	Please input inf	ormation abou	planned future ac	tions to reduce the ri	sk score	
Risk Status Category	Risk Description	Causes	Impacts/Evidence	Owner Likelihood	Impact	Gross Risk GR Rank	Actions to minimise risk in place	Residual Likelihood	Residual Impact	Residual Risk GR Residual	Actions to minimise risk/To Do (1)		Completion Date (1)	Actions to minimise risk/To Do (2)	Action Owner (2)	Completion Date (2)	Actions to minimise risk/To Do (3)	Owner (3)	Completion Date (3)	Actions to minimise risk/To Do (4)		Completion Date (4)		Action Owner (5)	Completion Date (5)
Orkney College UHI/15 O	Inadequate Building Maintenance Plan	Maintenance of the estate is principally undertaken by Orkney Island Council which owns the College estate. As part of the Council this affords the College access to economies of scale that would otherwise not be possible. The College uses both the Colleges procurement body APUC and the local authority procurement procedures which enhance the Colleges purchasing power due to economy of scale. OIC have well documented procedures for maintenance of estate. The greatest threat to the building maintenance plan is the inability of the college to fund necessary repairs as the estate ages. At present estates funding for both FE and HE has been reduced and is currently at a level that makes it very difficult to plan for major infrastructure developments / upgrading / replacement.		Principal 1	2	~ 3	 Estates Strategy Routine and long term maintenance plan Link plan top budgets Procedures for dealing with defects Rolling redecoration plan 	1-Very Rare	2-Minor	~ 3	Up to date building maintenan e plan	Islands		Budget to contain estates maintenance planning	Orkney Islands Council E Technical Services / College Manangen ent Team		Investigate funding opportunities to support key capital development requirements	Technical Services / College		9					
Orkney College UHI/16 VHI/16 Colleguistic UHI/16	safety legislation	There is a health and safety policy in place that is well understood by the staff. Staff and student activities are risk assessed. Updating policy and procedures in 2015. Health & Safety Audit undertaken by OIC Health & Safety Officer in January 2016. Health and Safety documentation has been updated and actions identified in H&S audit implemented. Fire Risk Assessments and audits undertaken.		Principal 1	4	₹ 2	 Health and safety policy Health and safety audit Training of First Aiders 	1-Very Rare	3-Significant	m 3	Update health and safety polic and procedures annually			Provide H&S training for key staff - rolling programme	College Manageme nt Team	01/07/2018	Ensure relevant staff undertake risk assessmentt o workplace and activities undertaken by staff and students.	ent Team f		8					
Orkney College UHI/17 Yet of the second seco	Inadequate student support services	The greatest risk is posed by the lack of specialist support services for students with particular types of learning difficulties. Systems to check that all students requiring support receive that which is necessary have been further developed. The College has experienced an increase in the number of students identifying with mental health issues. Arrangements have been put in place to accommodate some Counselling facilities for students and making sure that students are advised on referral arrangements for specialist help. Ensure College meets its obligations in terms of corporate parenting responsibilities		College Mgt. Team 3-Possible	2	° 2	 Keep under review student support systems Student satisfaction questionnaires Continue to make use of external support agencies 	2-Unlikely	2-Minor	⁴ 3	Annual reports from Acces and Inclusion group on effectivene s and reliability o student support services	5		Keep under review counselling services available to students	College Manageme nt Team	01/12/2018	Monitor implementatic n of corporate parenting policy.			8					
Orkney College UHI/18	institutions	The College has good relationships with a wide variety of organisations in Orkney. Relationships with schools are productive and there is cooperation between the College and other training providers within the county. The College is part of the UHI which as well as forming the basis of the college's HE provision also acts as a conduit for productive FE level collaboration.		Principal 2	m y	۰ 2	 Monitoring of relationships by Principal Regular meetings with Head Teachers, OIC, SDS, UHI 	2-Unlikely	2-Minor	4 3	Engage in collaborati e work with other Island and Highland colleges	/ Managem nt Team	01/08/2016	Develop shared provision	College Manageme nt Team		Develop clearl defined referral systems for students to access provision at other partner institutions when unable to meet specific needs	Managem ent Team			n Managem nt Team / OIC Education Departme t.		6		
Active Ac	Research fails to achieve viability	Research areas are heavily dependent on achieving new funded research leads on an on-going basis. These can be unpredictable. In addition some research projects involve commitments over several years that complicate withdrawal from an area of work should on-going viability be a concern. Indicators of viability positive in some areas. Research areas impacted on by adverse developments in the oil and gas industry and a slowing down in some aspects of marine renewables activity. Despite a more positive projection for 2017/18 the Research areas represent the greatest financial risk to the College over the next 12 months as they are dependent on generating income on a rolling basis throughout the year.		Principal 3-Possible	4	CT 2	 Separate budgets in place for each research area Monthly monitoring of finances Clear leadership of modules in College 	3-Possible	3-Significant	° 2		College Managem nt Team, College Managem nt Council	e	Regular monitoring meetings with Busienss Manager, Principal & Head of Service	College Managemu nt Team / Head of Service		I Identify necessary cosl savings within research areas where there is high risk of no achieving a balanced budget for 2017/18.	Managem s ent Team s		8					

UHI STRAT	TEGIC RIS	ISK REGIS	TER TEMPLATE	Orkney College UHI	TIMESCALE 3 Years							ACTION F	LAN Assign an act	tion owner who is the	e person respons	ible for completir	ng the identified ac	ion and select a rea	listic completic	on target date	Please input inf	ormation about	planned future ac	tions to reduce the ri	isk score	
Ref ID	tus	ا ح	Risk Description	Causes	Impacts/Evidence	- PO	ا ب	× ×	Actions to minimise risk in place	ज _ज	al tal	Actions t		Completion Date (1)	Actions to minimise	Action Owner (2)	Completion Date (2)	Actions to minimise	Action Owner (3)	Completion Date (3)	Actions to minimise	Action Owner (4)	Completion Date (4)	Actions to minimise	Action Owner (5)	Completion Date (5)
	Risk Stat	Categor				Owner Likelihoo	Impact	Gross Ri GR Ran		Residua	Residua Impact Residual F	risk/To I B B B C C C C C C C C C C C C C C C C			risk/To Do (2)	Owner (2)	Date (2)	risk/To Do (3)		Date (5)	risk/To Do (4)	Owner (4)	Date (4)	risk/To Do (5)		Date (5)
Orkney College UHI/20	Active	Academic		The decision by the UK to exit from the EEC represents a significant risk to the College, principally at this stage due to uncertainty. The College and UHI have benefitted significantly in the past from EU funding over which there is now uncertainty. The growth in FE student activity in 2015/16 was funded by match funding by the SFC and ESF and was originally expected to run through to 2020. Across UHI there is already evidence of some European academic partners being unwilling to commit tp medium / long term projects beacuse of the uncertainty.		College Mgt. Team 3-Possible	3-Significant	^σ 2	Undertake review of exposure to withdrawal from Europe both in terms of direct funding and the secondary impact through international partner relationship and EU student numbers.		3-Significant 9	Seek reasura from SFC and SG of future k funduiin streams (explore this thro 2 UHI and OIC)	ver Y S	01/12/2019												
Orkney College UHI/21			of the Equalities agenda	Failure to report on required statistics and analysis (Single Equalities Act). Legal requirements to publish Equalities mainstreaming report in March 2015.					• Equality Impact Assessments • Curriculum Audit Tool • Staff Development	- Ale	ant	reporting			Publications of Equalities Mainstream ng Report and ongoing monitoring.	Manageme i nt Team	01/07/201	3								
	Active	Organisati				CMT 2	4 0	∞ 2		2-Unlikely	3-Signific 6	2 and regularly monitore			monitoring.											
Orkney College UHI/22	Active	ā	allocated HE student number	Failure to recruit sufficient students due to various factors such as: over ambitious PPF target, poor marketing, curriculum gaps, poor NNS results etc	Reduction of college income from UHI, regional student number target at risk resulting in possible clawback to SFC from UHI in year or reduction in future years grant.	Principal 3-Possible	3-Significant	⁵⁷ 2	Review PPF target trends to ensure they are realistic.	2-Unlikely	3-Significant 6	Ensure budget i realistic linked to student numbers 2	СМТ	01/09/2018	Keep marketing under review. Lobby for greater marketing profile of university.	Principal	01/09/201	Greater promotion of networked courses across all APs		01/09/201	8					
Orkney College UHI/23	Active		allocated FE Credit targets.	Failure to recruit sufficient students due to various factors such as: over ambitious target, curriculum gaps, ineffective marketing and engagement with local schools/employers.		Principal 2-Unlikely	2-Minor	4 3	College has hit core targets in the past and undertaken additional ESIF funded teaching. With the withdrawel of ESIF fundin in 2019/20 core target should be readily attainable. Greatest risk relates to reduction in full-time student numbers as school choices at 16+ widen	2-Unlikely	2-Minor 4	Ensure budget i realistic linked to student 3 numbers	CMT	01/09/2018	Keep marketing under review. Lobby for greater marketing profile of university.	Principal	01/09/201	Greater promotion of networked courses across all APs		; 01/09/201	8 Ensure full engagement with schools in Orkney through the 'Orkney Offer' to increase the number of senior phase	Managem net Team	31/08/201	8 Increase offer of Foundation Apprenticeshi ps by 4 programmes in 2018/19	Manageme	31/08/20
Orkney College UHI/24	Active		eputation.	Significant or sustained adverse publicity, governance/management failure, negative comments on social media, poor academic results, poor performance in league tables, significant withdrawal rates		Principal 1-Very Rare	3-Significant	^m 3	 Quality assurance policies and procedures Seek to maintain good working relationships with the media Prompt responses to issues 	1-Very Rare	3-Significant 3	3 Monitor student complair and activ taken to address		01/07/2018 e	Maintain good relationship with all external bodies including th	College Manageme nt Team, College Manageme nt Council	01/07/201	3								
Orkney College UHI/25	Active	ā T	and/or partnership working resulting from loss of a key staff nember.	Retirement, resignation or death in service of key staff member(s) Inadequate succession planning. Over reliance on indivduals. Associated knock on impacts resulting from transition arrangments with staff acting up and possible failure of backfill solutions.	continuity, corporate knowledge gaps and	Principal 3-Possible	3-Significant	⁵⁷ 2	As a very small college there is reliance on key members of staff to undertake a range of business critical duties (typically a wider range than in larger colleges where responsibilities will be spread across a larger team.	3-Possible	3-Significant 9	business			Optimise us of services available through OIC and UHI to seek to minimise over relianc on individua OC staff	Manageme nt Team	01/07/201	Where possible arrange for more than one member of staff to be competent in manageing / delivering core functions			8 Work with other UHI academic partners to develop effective & efficient sharing of services.	Principal	01/08/201	9		
Orkney College UHI/26	Active		statutory regulations.	Lack of awareness of relevant laws and penalties. Management failures. Eg new General Data Protection Regulation from 25th May 2018, Bribery Act, Health and Safety Regulations etc.	GDPR will provide new rights for individuals and impose additional obligations on data controllers and processors. GDPR will also introduce an increasesd penalty framework for non-compliance/data breaches and includes new requirements for authorities to ensure that they maintain evidence to demonstrate compliance with the Law.	Principal 2-Unlikely	3-Significant	۳ 2	As part of Orkney Islands Council, Orkney College has a wide level of support to asist with compliance with statutory regulations. As a very small college this ability to draw on specialist knowledge is critical. This includes GDPR, Procurement, Health & Safety, CONTEST etc.	1-Very Rare	3-Significant 3	Ensure a major statory requiren ts are 'or radar' ar approria 3 experts a consulte for advice	d te re d		Clarify when necessary that OC is not a separate public body but part of Orkney Islands Council	Principal	01/12/201	Monitor deadlines for statutory regulation returns and ensure compliance.	Principal	01/12/201	8					

UHI STRAT	TEGIC RISI	REGISTER TEMPLATE	Orkney College UHI	TIMESCALE 3 Years								ACTION PLAN	Assign an actio	n owner who is the pe	erson responsit	ole for completin	g the identified act	ion and select a rea	alistic completion	n target date	Please input info	ormation abou	t planned future act	ons to reduce the ri	sk score	
Ref ID	Risk Status	Risk Description	Causes	Impacts/Evidence	Owner Likelihood	Impact	Gross Risk	Actions to minimise risk in place	Residual Likelihood Residual	Impact Residual Risk	GR Residual	risk/To Do (1)	Owner (1)	Date (1)	actions to ninimise isk/To Do 2)	Action Owner (2)	Completion Date (2)	Actions to minimise risk/To Do (3)	Owner (3)	Completion Date (3)	Actions to minimise risk/To Do (4)	Action Owner (4)	Completion Date (4)		Action Owner (5)	Completion Date (5)
Orkney College UHI/27	Active	Governance Failure.	Governing body does not have an appropriate balance of skills and experience. Role of a governor/director is onerous and it is difficult to attract a broad range of high calibre individuals to serve for non-remunerated roles	Recent advertisements for new members have attracted few applications	Principal 3-Possible	2-Minor	و و	Orkney College Management Council is a Sub-committee of the Education, Leisure and Housing Committee of Orkney Islands Council. Governance policies and procedures are those of the Council whuch are well managed and highly regarded. Recuitment to the College Management Council for new members is currently underway to ensure a balance of Councillors, Community Mmebers and Business Members		2-Minor 4	7 3	Recruitmen t of new Community and Business Members	СМС	c c s	elf valuation of MC against coleges cotland tandards		01/04/2018									
Orkney College UHI/28	Active		Increased pay costs (national bargaining), pensions and NI contributions. Efficiency savings are not achieved quickly enough to counteract reductions in income.	Services cut resulting in reduction of teaching expertise and/or research capacity leading to a reduction in service quality leading to student dissatisfaction and risk of reputational damage.	Principal 3-Possible	4-Major	12	Rigorous budget setting procedures Adequate budgeting monitoring and corrective action where necessary Financial regulations and internal controls Effective internal and external audit Effective and efficient deployment of staff Undertaking cost saving actions when necessary	3-Possible	3-Significant 9	ⁿ 2	Monitor o optimisatio I n of income i streams	•	, v f S	Maintain rovision of vork based mployer unded and DS funded rovision.		01/12/2018	Review viability of FE and HE courses where student numbers are low.	ent Team	01/07/2018	B Develop sustainable operational model to ensure that National Bargaining costs can be	•	31/07/2019			
Orkney College UHI/29	Active	College estate not fit for purpose.	Lack of investment in capital maintenance/new capital project expenditure. Rapid growth of student population without investment in new expanded facilities.	Poor performance in NSS, increased number of complaints received, unable to meet new growth targets.	Principal 3-Possible	3-Significant	6	Estates Strategy Routine and long term maintenance plan Link plan top budgets Procedures for dealing with defects Rolling redecoration plan	2-Unlikely	3-Significant 6	2	Forward maintenanc I e plans for existing estate. Review	Manageme	h	xplore tudent ousing ptions	College Manageme nt Team	01/12/2019	Explore Archaeology Institute accommodati n	ent Team	01/12/2018	3					
Orkney College UHI/30	Active	Academic quality is sub standard	Difficulty recruiting and retaining high calibre staff. Conditions and terms of employment are not competitve with limited scope for career progression. Infrastrucure/estate is unsuitable or not fot for purpose	-	Principal 2-Unlikely	3-Significant	ę	The College has a strong profile of academic staff with high attainment rates at FE and good student satisfaction at HE • Recruitment and selection policies • Staff Planning • Targeted advertising • OIC Single Status	1-Very Rare	2-Minor 2	۹ 3	Continually monitor	College Manageme nt Team	t ii n	mployment	Manageme	01/07/2016	Implement shadowing of National Bargaining in : sustainable delivery mode	Principal a	01/12/2019	9					
Orkney College UHI/31	Active	Poor Student Experience		Poor performance in national student satisfaction surveys. Reputational damage. Impact on ability to recruit future cohorts. Risk to core income streams.	Principal 3-Possible	3-Significant	σ	Ensure all estate is maintained to at least minimum standards; Work with HISA and students to ensure positive student experience; Manage expectations of students in a productive way with regard to local student facilities.	3-Possible	3-Significant 9	ⁿ 2		College Managemn et Team	f s	eek eedback rom tudents re, evels of atisfaction.	College Manageme nt Team	31/07/2018	Monitor feedback from National Student Survey and implement actions to adddress issues raised	College Managem ent Team / wider staff	31/10/2018	3					
Orkney College UHI/32	Active	Research outputs are sub standard	Failure to publish sufficent quality papers and upload to PURE. Loss of key staff. Lack of funding. Inadequate resources allocated to research staff. Terms and conditions of employment are not comparable with competitor organisations. Impact of Brexit on access to European projects.	Poor performance in next REF. Inability to retain staff and	Principal 3-Possible	3-Significant	o .	Good reputational history to date. Ensure ongoing high quality project management and monitoring. Ensure financial sustainability of research areas to minimise risk of terminating projects ahead of completion.	2-Unlikely	3-Significant 6	2	Ensure staff I are trained I in use of I PURE	Research	v u r c	Aonitor ompliance vith need to pload esearch outputs on to URE	Directors	31/12/2018	Ensure staff compliance with REF 2020 preparartions	Research Directors	31/07/2020	5					
Orkney College UHI/33	Active	sensitive data and/or services are disrupted, corrupted, lost, stolen or misused through serious inappropriate usage of I systems or data, by internal users of the university		important information for short or sustained period. Permanent loss of unbacked up data through data corruption or malicious ransomware encryption.	Principal 3-Possible	3-Significant	5 ;	Ownership and proactive monitoring of cybersecurity risks at university and academic partner senior management level. Common information security policy framework. Complete Information asset register. Business processes and practice where personal data is handled have been questioned and validated. Sensitive personal data is secured appropriately, handled correctly and accessed carefully by approved users. Partnership and local procedures that implement information security policies and best practice. Mandated information security training and increased staff awareness of information security issues. Information security embedded as a core aspect of all staff job roles. Business continuity plans in place for cyber-attack and information breach response.	2-Unlikely	3-Significant 6	22	Ensure all staff have undertaken data security training	Principal	v C s	nsure ompliance vith UHI and IIC data ecurity Iolicies & rotocols	Principal	31/07/2018									