Appendix 1. Orkney College Risk register - March 2018 Update

		REGISTER TEMPLATE	register - March 2018 Update Orkney College UHI	TIMESCALE 3 Years								ACTION PLA	N Assign an act	tion owner who is t	ne person respons	ible for complet	ing the identified act	tion and select a rea	listic completio	n target date	Please input info	ormation about	planned future act	ions to reduce the ri	sk score	
Ref ID	stus	Risk Description	Causes	Impacts/Evidence	i i	pood t	z disk	Actions to minimise risk in place	la l	E t	Risk	Actions to minimise		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)		Action Owner (5)	Completion Date (5)
	Risk Sta	Catego			Own	Impact	GR Ra		Reside	Residu	tesidual GR Resi	risk/To Do (1)			risk/To Do (2)			risk/To Do (3)			risk/To Do (4)			risk/To Do (5)		
Orkney College UHI/2	Active	Failure to achieve planned student numbers	The College fell slightly short its core FE target in 2017/18 . HE student FTEs were on target in 2017-18. Targets for 2018/19 have been reviewed (some up, some down) and expectations and that the FE and HE targets will be achieved for 2018/19. FE targets should be met as long as full-time admissions are as expected in August 2018	e	Principal	2-Unlikely 3	۵ 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	6	A quality online prospectus	Managem		8 A realistic marketing plan	College Managem nt Team	01/08/2018 e	S Close monitoring of FE Credits to ensure on target and if need be increase number of short courses run.		01/10/201	3					
Orkney College UHI/3	Active	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 and OC previous years.	Principal	1-Very Kare 3	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	Clear cours level reporting procedures (reviewing FE and HE with UHI)	Managem nt Team	01/12/20: e	7 Embedding of peer review. Ongoing work in 2017/18	College Managem nt Team	01/12/2011 e	Monitor changes to Education Scotland quality procedures and adapt OC systems accordingly	College Managem ent Team	01/12/2018	3					
Orkney College UHI/4	Active	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	Z-Unlikely 3-Significant	۵ 2	CPD Good Internal Communications Professional Development Reviews Efficient timetabling of teaching time Introduce computerised timetabling package CELCAT	2-Unlikely	2-Minor	4	Clear procedures for staff developme t	College Managem nt Team		8 Use of new timetabling package CELCAT, to better monitor stai and resourc allocation	College Managem nt Team		In consultation with staff consider redeployment from areas of declining activity to new with appropriate development	Managem ent Team	01/08/2014	3					
Orkney College UHI/5	Active	Changes in government policy (including changes to funding methodology)	The unit of resource for FE teaching has effectively remained constant whilst pay awards and non-staff inflation costs have added to the operating costs of the College yearon year. At HE 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 pressures within UHI make resource allocation a competotive process. The introduction of National Bargaining across the sector is being supported for a transition period by the SFC, however this happening against an uncertain background of funding from the Scottish Government.	s	CMT/CMC	4 4-Major	16	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	ō		i		9 Manage the implementa on of National Bargaining tensure that the College i sustainable the medium and longer term Promoted post shadov assimilation process undertaken	Managem nt Team oo is in		3 Ensure that staff are fully deployed to minimise any unecessary teaching costs Ongoing	Managem	01/08/2019	Ensure College organisation al structure is effective tc make full use of staff. To be reviewed when new principal in post.		01/12/2019			
Orkney College UHI/6	Active	Failure to detect fraud	The College is subject to the governance of Orkney Islands Counci 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	2 2	7 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	2	Continued monitoring of the college finances and expenditur by College Managem at Council and Orkney Islands	Managem nt Team, Internal Audit (Orkney e Islands Council)	01/08/20:	8											
Orkney College UHI/7	Active	Insufficient funds for capital building requirements	Significant reduction in capital / maintenance funding for FE places additional strain on revenue funding for 2018/19. The College has a long term maintenance plan with OIC but limited capital funds mean that only essential work will be undertaken in 2018/19. Priority for accommodation are space for Archaeology Institute and Student Accommodation.		Principal	m m	o 2	A realistic capital programme Evaluations of funding options Link to budget and finance management policies	2-Unlikely	3-Significant	9	Forward maintenan e plans for existing estate. Review	c Managem		8 Explore student housing options	College Managem nt Team	01/12/2019 e	Explore Archaeology Institute accommodation	ent Team	01/12/2018	3					

UHI STRAT	EGIC RISK	REGISTER TEMPLATE	Orkney College UHI	TIMESCALE 3 Years								ACTION PLA	N Assign an act	tion owner who is t	he person respon	sible for comple	eting the identified a	tion and select a re	alistic completi	on target date	Please input inf	ormation about	planned future ac	ions to reduce the ri	sk score	
Ref ID	Risk Status	Risk Description	Causes	Impacts/Evidence	Owner	Impact Gross Risk	GR Rank	Actions to minimise risk in place	Residual Likelihood	Residual Impact	Residual Risk	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)	Action Owner (4)	Completion Date (4)		Action Owner (5)	Completion Date (5)
Orkney College UHI/8	Active	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 8	2	Recruitment and selection policies Staff Planning Targeted advertising OIC Single Status	2-Unlikely	2-Minor	4	Continually monitor staff satisfaction	Managem nt Team		16 Implement shadowing National Bargaining a sustainat delivery model	of Principal	01/12/201	9								
Orkney College UHI/9	Active	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	m u	2	Recruitment and selection policies Staff Planning Targeted advertising OIC Single Status National Bargaining	2-Unlikely	2-Minor	4	Ensure equality of employmen t for all staff.	OIC HR / College n Managem nt Team		18 Monitor employment trends and information on labour markets			8 Continue to raise profile or college as a good employe	Managem ent		8 Implement shadowing o National Bargaining ir a sustainable delivery model	f Principal	01/12/201			
Orkney College UHI/10	Active	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 2017/18 with an overall surplus of circa £40k, 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 12	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	6		College Managem e nt Team		Maintain provision o work based employer funded and SDS funded provision.	nt Team		8 Review viability of FE and HE courses when student numbers are low.	ent Team		8 Develop sustainable operational model to ensure that National Bargaining costs can be met post- transition funding		31/07/201			
Orkney College UHI/11	Active	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 2	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	Active	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	m m	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	Monitor student complaints and actions taken to address - Ongoing			Maintain good relationship with all external bodies including the media	College Managem nt Team, College Managem nt Counci	ne	9								
Orkney College UHI/13	Active	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 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	8	Review and update recovery/e mergency plan. Particularly in in relation to electronic data recovery.	Managem nt Team		18 Ensure staf are aware of holding secure backups of key data, within the specificatio of the data protection act.	of Managem nt Team all		8								
Orkney College UHI/14	Active	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 4	2	Outline plan List fully possible alternative arrangements for work bases Complete inventory of property to easily identify items to be replaced	1-Very Rare	3-Significant	e	Complete Business Continuity Plan for the College		01/10/20	18											

UHI STRAT	EGIC RISI	CREGISTER TEMPLATE	Orkney College UHI	TIMESCALE 3 Years								ACTION F	LAN Assign an a	ction owner who is the person i	responsible f	for completing	g the identified acti	on and select a real	listic completic	on target date	Please input inf	ormation about	planned future ac	ions to reduce the ri	sk score	
Ref ID	Risk Status	Risk Description	Causes	Impacts/Evidence	Owner	Impact	Gross Risk GR Rank	Actions to minimise risk in place	Residual Likelihood	Residual	Residual Risk	Actions to minimise risk/To [Owner (Completion Action Date (1) minim risk/T (2)	nise C	Owner (2)	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/15	Active	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	7 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	2	building	te Orkney Islands Council Technica Services College Manange ent Tean	/ planni em	in Is s C enance T ing S C	Orkney Slands Council Gechnical Gervices / College Manangem Int Team		funding opportunities to support	Technical Services / College	01/08/201	9					
Orkney College UHI/16	Active	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	1 4	₹ 2	Health and safety policy Health and safety audit Training of First Aiders	1-Very Rare	3-Significant	8				ng for Naff - n	College Manageme at Team		Ensure relevant staff undertake risk assessmentt of workplace and activities undertaken by staff and students.	ent Team		8					
Orkney College UHI/17	Active	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	2 2	۰ <u>2</u>	Keep under review student support systems Student satisfaction questionnaires Continue to make use of external support agencies	2-Unlikely	2-Minor	4	Annual reports from Acc and Inclusion group or effective s and reliability student support services	nes		v N elling n es ble to	college Manageme at Team		Monitor implementatio n of corporate parenting policy.	_		8					
Orkney College UHI/18	Active	relationships with partner 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 act as a conduit for productive FE level collaboration.		Principal 2	ım	۵ 2	Monitoring of relationships by Principal Regular meetings with Head Teachers, OIC, SDS, UHI	2-Unlikely	2-Minor	4	collabora			ı b	College Manageme It Team			/ College Managem ent Team		5 Strengthen working with schools in Orkney to develop enhanced Senior Phase provision for young peopl across both school and college.	Management Team / OIC Education Department t.		5		
Orkney College UHI/19	Active	rinancial	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	2 2	Separate budgets in place for each research area Monthly monitoring of finances Clear leadership of modules in College	3-Possible	3-Significant	6		College ng Managers nt Team, College Manager nt Counc	meeti with E ne Mana	oring M ngs n Busienss H ger, S pal & of e -	college Manageme It Team / Idead of ervice		Identify necessary cost savings within research areas where there is high risk of not achieving a balanced budget for 2017/18 Implemented & Ongoing	Managem ent Team		8					

UHI STRA	TEGIC RISK REGI	STER TEMPLATE	Orkney College UHI	TIMESCALE 3 Years								ACTION PLAN Assign an acti	on owner who is the	person responsible f	or completing the id	entified action	n and select a real	listic completic	n target date	Please input inf	ormation about	planned future act	tions to reduce the r	isk score	
Ref ID	tus √	Risk Description	Causes	Impacts/Evidence	_ TO	3 #	ž ž	Actions to minimise risk in place	ੂ ਰੂ ੂ	Risk Risk	lean	Actions to Action minimise Owner (1)	Completion Date (1)		ction Comp		Actions to minimise	Action Owner (3)		Actions to minimise	Action Owner (4)	Completion Date (4)	Actions to minimise	Action Owner (5)	Completion Date (5)
	Risk Star Catego				Owne	Impact	Gross R GR Rar		Residu Likeliho Residu	Impac	GR Resic Rank	risk/To Do (1)	(-)	risk/To Do (2)	(2)		risk/To Do (3)	, , , , , , , , , , , , , , , , , , , ,	(-,	risk/To Do (4)	, ,	(-)	risk/To Do (5)		,
Orkney College UHI/20	Active Academic	Adverse impact of BREXIT	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 to medium / long term projects beacuse of the uncertainty.		College Mgt. Team	3-Significant	6 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-Possible	3-9gniticant 9	2	Seek Principal reassurance from SFC and SG over future key funduling streams (explore this through UHI and OIC)	01/12/2019												
Orkney College UHI/21		Failure to demonstrate delivery 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.		CMT	1 4	∞ 2	Equality Impact Assessments Curriculum Audit Tool Staff Development	2-Unlikely	s-Significant 6	2	Appropriate Access& reporting Inclusion mechanism Committee and procedure put in place and regularly monitored.		Publications C of Equalities N Mainstreami ng Report and ongoing monitoring.	lanageme	/07/2018									
Orkney College UHI/22		College does not achieve allocated HE student number targets.		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	o 2	Review PPF target trends to ensure they are realistic.	2-Unlikely	s-significant 6	2	Ensure CMT budget is realistic - linked to student numbers	01/09/2018	Keep P marketing under review. Lobby for greater marketing profile of university.	rincipal 01	i	Greater promotion of networked courses across all APs	Marketing	01/09/201	8					
Orkney College UHI/23		College does not achieve 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.	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 2-Unlikely	2-Minor	4 3	Slightly below FE student number target in 2017/18. College has hit core targets in the past and undertaken additional ESIF funded teaching. With the withdrawel of ESIF funding 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	z-Minor 4	3	Ensure CMT budget is realistic - linked to student numbers	01/09/2018	Keep P. marketing under review. Lobby for greater marketing profile of university.	rincipal 01	i	Greater promotion of networked courses across all APs	Marketing	01/09/201	with schools in Orkney through the 'Orkney Offer to increase the number of senior	Managemn et Team	31/08/2018	8 Increase offer of Foundation Apprenticeship s by 4 programmes in 2018/19	Manageme nt Team	31/08/201
Orkney College UHI/24		The institution has a poor reputation.	Significant or sustained adverse publicity, governance/management failure, negative comments on social media, poor academic results, poor performance in league tables, significant withdrawal rates	Inability to recruit students or attract and retain high calibre staff, inability to attract funding and/or develop strategic partnerships	Principal 1-Verv Rare	3-Significant	ო 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	Monitor College student Manageme omplaints and actions taken to address	01/07/2018	good N relationships n with all C external N	ollege 01 flanageme t Team, ollege flanageme t Council	/07/2018				phase school					
Orkney College UHI/25		and/or partnership working	Retirement, resignation or death in service of key staff member(s) Inadequate succession planning. Over reliance on individuals. Associated knock on impacts resulting from transition arrangments with staff acting up and possible failure of backfill solutions.	Projects delayed due to loss of continuity, corporate knowledge gaps and disruption/loss of established relationships and contacts.	Principal 3-Possible	3-Significant	o 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	2	Ensure that business Manageme processes are well documente d to facilitate cover in staff absence		Optimise use Coof services N	ollege 01 Ianageme t Team	6 1 9 0	possible			8 Work with other UHI academic partners to develop effective & efficient sharing of services.	Principal	01/08/2019	9		
Orkney College UHI/26		Non-compliance with relevant statutory regulations.		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-Unitkelv	3-Significant	© 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	3	Ensure all Manageme statory int Team requirement s are 'on radar' and approriate experts are consulted for advice		Clarify when P necessary that OC is not a separate public body but part of Orkney Islands Council	rincipal 01	5 1 1	Monitor deadlines for statutory regulation returns and ensure compliance.	Principal	01/12/201	8					

UHI STR	TEGIC RISK REG	SISTER TEMPLATE	Orkney College UHI	TIMESCALE 3 Years									ACTION P	AN Assign an act	ion owner who is th	ne person respon	nsible for completi	ng the identified act	ion and select a rea	alistic completion	on target date	Please input in	nformation abo	ut planned future ac	ions to reduce the ri	sk score
Ref ID	sk Status ategory	Risk Description	Causes	Impacts/Evidence	Owner	kelihood	ross Risk	GR Rank	Actions to minimise risk in place	kelihood	tesidual Impact	idual Risk	Actions to minimise risk/To D	Owner (1)	Completion Date (1)	Actions to minimise risk/To Do	Owner (2)	Completion Date (2)	Actions to minimise risk/To Do (3)		Completion Date (3)	Actions to minimise risk/To Do		Completion Date (4)		Action Completion Owner (5) Date (5)
Orkney College UHI/27		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		3-Possible Li	9		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-Unlikely	2-Minor	4 Res	Recruitm of new Commun and Business Members Achieved	ty	01/04/201	1		01/04/2018								
Orkney College UHI/28			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.	_	3-Possible	12	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	6	optimisat	College io Manageme ne nt Team		.8 Maintain provision of work based employer funded and SDS funded provision.	d nt Team	01/12/2018	Review viability of FE and HE course where studen numbers are low.	es ent Team		8 Develop sustainable operationa model to ensure that National Bargaining costs can b	nt Team		9	
Orkney College UHI/29	ona	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	6	2	Estates Strategy Routine and long term maintenance plan Link plan top budgets Procedures for dealing with defects Rolling redecoration plan	2-Unlikely	3-Significant	9	maintena	College nc Managem r nt Team	01/12/201	8 Explore student housing options	College Manageme nt Team	01/12/2019		College Managem ent Team		met noct.				
Orkney College UHI/30		Academic quality is sub standard	Difficulty recruiting and retaining high calibre staff. Conditions and terms of employment are not competitive with limited scope for career progression. Infrastrucure/estate is unsuitable or not fot for purpose	Poor performance in quality monitoring/assurance reviews. Loss of staff to competitor institutions. Poor attainment levels, high level of withdrawal and poor retention. Damage to reputation.	rincipal	2-Unlikely 3-Significant	9	2	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	Impleme	g	01/12/201	9										
Orkney College UHI/31		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	6		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	6	Engage w student Reps through regular meetings	College Managem et Team	31/07/201	8 Seek feedback from students re levels of satisfaction		31/07/2018	Monitor feedback from National Student Surve and implemen actions to adddress issues raised	ent Team y wider staf	/	8				
Orkney College UHI/32	-	Research outputs are sub standard	Loss of key staff. Lack of funding. Inadequate resources allocated to research staff. Terms and conditions of employment are not	Damage to reputation. Brexit. Poor performance in next REF. Inability to retain staff and research teams. Reduced income.	Principal	3-Possible	6	2	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	9	Ensure relevant staff are trained ir use of PU		31/07/201	8 Monitor complianc with need upload research outputs or PURE	to Directors	31/12/2018	Ensure staff compliance with REF 2020 preparartions	Research Directors	31/07/202	00				
Orkney College UHI/33		are disrupted, corrupted, lost, stolen or misused through serious inappropriate usage of IT systems or data, by internal users of the university	sensitive data to loss or misuse. Malicious, illegal or unintentional data leakage. Loss of an insecure corporate or personal device with corporate data on it while off campus. Loss or theft of IT equipment on campus. Inappropriate disposal of IT equipment. Larger than normal numbers of system users	important information for short or sustained period. Permanent loss of unbacked up data through data corruption or malicious ransomware encryption.	Principal	3-Possible 3-Stanificant	6 6	2	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	9	Ensure al staff have undertak data security training		31/03/201	8 Ensure complianc with UHI a OIC data security policies & protocols	e	31/07/2018								