

Appendix 1. Orkney College Risk register - March 2018 Update

UHI STRATEGIC RISK REGISTER TEMPLATE				Orkney College UHI						TIMESCALE 3 Years	ACTION PLAN Assign an action owner who is the person responsible for completing the identified action and select a realistic completion target date Please input information about planned future actions to reduce the risk score																				
Ref ID	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 Rank	Actions to minimise risk/To Do (1)	Action Owner (1)	Completion Date (1)	Actions to minimise risk/To Do (2)	Action Owner (2)	Completion Date (2)	Actions to minimise risk/To Do (3)	Action Owner (3)	Completion Date (3)	Actions to minimise risk/To Do (4)	Action Owner (4)	Completion Date (4)	Actions to minimise risk/To Do (5)	Action Owner (5)	Completion Date (5)	
Orkney College UHI/2	Active	Academic	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 are 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..		Principal	2-Unlikely	3	6	2	<ul style="list-style-type: none"> 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	2	A quality online prospectus	College Management Team	01/03/2018	A realistic marketing plan	College Management Team	01/08/2018	Close monitoring of FE Credits to ensure on target and if need be increase number of short courses run.	College Management Team	01/10/2018							
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 against 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.	Self Evaluation grades of 'Very Good' endorsed by Education Scotland. Positive Pis that compare well with National Pis and OC previous years.	Principal	1-Very Rare	3	3	3	<ul style="list-style-type: none"> 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	3	3	Clear course level reporting procedures (reviewing FE and HE with UHI)	College Management Team	01/12/2017	Embedding of peer review. Ongoing work in 2017/18	College Management Team	01/12/2018	Monitor changes to Education Scotland quality procedures and adapt OC systems accordingly	College Management Team	01/12/2018							
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.	Staff timetable review undertaken each Semester - almost all staff fully deployed. - biggest issue is some small class sizes.	Principal	2-Unlikely	3-Significant	6	2	<ul style="list-style-type: none"> CPD Good Internal Communications Professional Development Reviews Efficient timetabling of teaching time Introduce computerised timetabling package CELCAT 	2-Unlikely	2-Minor	4	3	Clear procedures for staff development	College Management Team	01/08/2018	Use of new timetabling package CELCAT, to better monitor staff and resource allocation	Principal / College Management Team	01/12/2018	In consultation with staff consider redeployment from areas of declining activity to new with appropriate development	College Management Team	01/08/2018							
Orkney College UHI/5	Active	External	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 year on year. At HE level the unit of resource is decreasing slightly for 2018/19. The funding methodology 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 competitive process. The introduction of National Bargaining across the sector is being supported for a transition period by the SFC, however this is happening against an uncertain background of funding from the Scottish Government.	National Bargaining requires significant additional funding to meet the year on cost increases until 2020 followed by a need to ensure long term sustainability beyond 2020-22.	CMT/CMC	4	4-Major	16	1	<ul style="list-style-type: none"> 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	9	2	Greater collaboration with other colleges in the regions to explore opportunities for shared planning and provision. - Ongoing	College Management Team	01/07/2019	Manage the implementation of National Bargaining to ensure that the College is sustainable in the medium and longer term.. Promoted post shadow assimilation process undertaken	College Management Team	01/08/2018	Ensure that staff are fully deployed to minimise any unnecessary teaching costs Ongoing	College Management Team	01/08/2019	Ensure College organisational structure is effective to make full use of staff. To be reviewed when new principal in post.	Principal	01/12/2019				
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	2	3	<ul style="list-style-type: none"> Sound internal control system Comprehensive updated financial regulations Effective internal audit Effective external audit Compliance with Orkney Island Council financial regulations 	1-Very Rare	2-Minor	2	3	Continued monitoring of the college finances and expenditure by College Management Council and Orkney Islands Council	College Management 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 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	3	3	9	2	<ul style="list-style-type: none"> A realistic capital programme Evaluations of funding options Link to budget and finance management policies 	2-Unlikely	3-Significant	6	2	Forward maintenance plans for existing estate. Review	College Management Team	01/12/2018	Explore student housing options	College Management Team	01/12/2019	Explore Archaeology Institute accommodation	College Management Team	01/12/2018							

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Orkney College UHI/15	Active	Organisational	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	2	3	<ul style="list-style-type: none"> 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	3	Up to date building maintenance plan	Orkney Islands Council Technical Services / College Management Team	01/07/2018	Budget to contain estates maintenance planning	Orkney Islands Council Technical Services / College Management Team	01/04/2018	Investigate funding opportunities to support key capital development requirements	Orkney Islands Council Technical Services / College Management Team	01/08/2019																	
Orkney College UHI/16	Active	Organisational	Serious breaches of health and 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	4	2	<ul style="list-style-type: none"> Health and safety policy Health and safety audit Training of First Aiders 	1-Very Rare	3-Significant	3	3	Update health and safety policy and procedures annually	College Management Team	01/09/2018	Provide H&S training for key staff - rolling programme	College Management Team	01/07/2018	Ensure relevant staff undertake risk assessment of workplace and activities undertaken by staff and students.	College Management Team	01/12/2018																	
Orkney College UHI/17	Active	Academic	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	6	2	<ul style="list-style-type: none"> 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 Access and Inclusion group on effectiveness and reliability of student support services	College Management Team	01/07/2018	Keep under review counselling services available to students	College Management Team	01/12/2018	Monitor implementation of corporate parenting policy.	College Management Team	01/07/2018																	
Orkney College UHI/18	Active	External	Problems arising from 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 acts as a conduit for productive FE level collaboration.		Principal	2	3	6	2	<ul style="list-style-type: none"> Monitoring of relationships by Principal Regular meetings with Head Teachers, OIC, SDS, UHI 	2-Unlikely	2-Minor	4	3	Engage in collaborative work with other Island and Highland colleges	College Management Team	01/08/2016	Develop shared provision	College Management Team	01/08/2016	Develop clearly defined referral systems for students to access provision at other partner institutions when unable to meet specific needs	College Management Team	01/08/2016	Strengthen working with schools in Orkney to develop enhanced Senior Phase provision for young people across both school and college.	College Management Team / OIC Education Department	01/08/2016														
Orkney College UHI/19	Active	Financial	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	12	2	<ul style="list-style-type: none"> Separate budgets in place for each research area Monthly monitoring of finances Clear leadership of modules in College 	3-Possible	3-Significant	9	2	Tighter monitoring of progress towards targets	College Management Team, College Management Council	01/12/2015	Regular monitoring meetings with Business Manager, Principal & Head of Service - Ongoing	College Management Team / Head of Service	01/08/2018	Identify necessary cost savings within research areas where there is high risk of not achieving a balanced budget for 2017/18. - Implemented & Ongoing	Principal / College Management Team	01/12/2018																	

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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 because of the uncertainty.		College Mgt. Team	3-Possible	3-Significant	9	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-Significant	9	2	Seek reassurance from SFC and SG over future key funding streams (explore this through UHI and OIC)	Principal	01/12/2019													
Orkney College UHI/21	Active	Organisational	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	2	4	8	2	<ul style="list-style-type: none"> Equality Impact Assessments Curriculum Audit Tool Staff Development 	2-Unlikely	3-Significant	6	2	Appropriate reporting mechanism and procedure put in place and regularly monitored.	Access& Inclusion Committee	01/07/2018	Publications of Equalities Mainstreaming Report and ongoing monitoring.	College Management Team	01/07/2018										
Orkney College UHI/22	Active	Organisational	College does not achieve allocated HE student number targets.	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	9	2	Review PPF target trends to ensure they are realistic.	2-Unlikely	3-Significant	6	2	Ensure budget is realistic - linked to student numbers	CMT	01/09/2018	Keep marketing under review. Lobby for greater marketing profile of university.	Principal	01/09/2018	Greater promotion of networked courses across all APs	Marketing	01/09/2018							
Orkney College UHI/23	Active	Organisational	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 withdrawal 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	2-Minor	4	3	Ensure budget is realistic - linked to student numbers	CMT	01/09/2018	Keep marketing under review. Lobby for greater marketing profile of university.	Principal	01/09/2018	Greater promotion of networked courses across all APs	Marketing	01/09/2018	Ensure full engagement with schools in Orkney through the 'Orkney Offer' to increase the number of senior phase school	College Management Team	31/08/2018	Increase offer of Foundation Apprenticeships by 4 programmes in 2018/19	College Management Team	31/08/2018	
Orkney College UHI/24	Active	Organisational	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-Very Rare	3-Significant	3	3	<ul style="list-style-type: none"> 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 complaints and actions taken to address	College Management Team	01/07/2018	Maintain good relationships with all external bodies including the	College Management Team, College Management Council	01/07/2018										
Orkney College UHI/25	Active	Organisational	Disruption to services/projects and/or partnership working resulting from loss of a key staff member.	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 arrangements 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	9	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 processes are well documented to facilitate cover in staff absence	College Management Team	01/07/2018	Optimise use of services available through OIC and UHI to seek to minimise over reliance on individual OC staff	College Management Team	01/07/2018	Where possible arrange for more than one member of staff to be competent in managing / delivering core functions	College Management team	01/12/2018	Work with other UHI academic partners to develop effective & efficient sharing of services.	Principal	01/08/2019				
Orkney College UHI/26	Active	Organisational	Non-compliance with relevant statutory regulations.	Lack of awareness of relevant laws and penalties. Management failures. E.g 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 increased 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	6	2	As part of Orkney Islands Council, Orkney College has a wide level of support to assist 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 major statutory requirements are 'on radar' and appropriate experts are consulted for advice	College Management Team	01/12/2018	Clarify when necessary that OC is not a separate public body but part of Orkney Islands Council	Principal	01/12/2018	Monitor deadlines for statutory regulation returns and ensure compliance.	Principal	01/12/2018							

