

RISK REGISTER 2016-17

NO.	RISK CATEGORY	RISK	Controls	CONTINGENCY ARRANGEMENTS	RESPONSIBILITY	ACTION	RISK SCORE	IMPACT SCORE	LIKELIHOOD SCORE	
		SIGNIFICANT								
HR1	A	Inability to fill key staff roles	<p style="text-align: center;">A</p> <ul style="list-style-type: none"> Develop an effective succession planning Skills audit and internal re-deployment if possible Targeted staff training and development Share knowledge and skills within teams 	<ul style="list-style-type: none"> Appointment of temporary specialists Work collaboratively with other providers 	Principal	Principal and Deputy Principal	18	6	3	
HR2	A	Staff morale deteriorates as a consequence of heavy workload and restrictions on remuneration; assimilation and pay freezes	<p style="text-align: center;">A</p> <ul style="list-style-type: none"> Management focus on staff morale Assimilation to new teachers' pay spine College policies & procedures Effective welfare and staff care Management responds appropriately, when necessary 	<ul style="list-style-type: none"> Reconsider approaches to staff consultation and welfare 	Principal	Deputy Principal	18	6	3	
P1	A	There are insufficient resources of the right type available to meet accommodation needs. This is particularly the case within the science area (laboratories)	<p style="text-align: center;">S</p> <ul style="list-style-type: none"> Corporation involved in accommodation strategy; Curriculum offer matched to accommodation Being proactive in sourcing external funding streams Ensure all space used to maximum efficiency Monitor trends in student numbers and class sizes to identify future additional accommodation requirements 	<ul style="list-style-type: none"> Waiting lists for some courses Work collaboratively with other providers Look at off-site provision 	Principal	DP & BD	18	6		3
F2	A	Risk of not growing due to competition and demand affecting financial viability.	<p style="text-align: center;">A</p> <ul style="list-style-type: none"> Governor & SLT monitoring of student numbers 	<ul style="list-style-type: none"> Curriculum changes to reflect demand Alternative income 	Principal	DP	18	6	3	

NO.	RISK CAT E-GOR Y	RISK	Controls	CONTINGENCY ARRANGEMENTS	RESPONSBI LITY	ACTION	RISK SCORE	IMPACT SCORE	LIKELIHOOD SCORE
			<ul style="list-style-type: none"> Effective & responsive marketing strategy Effective monitoring of level of admissions and projected numbers Effective Quality assurance to ensure high success rates Effective targeted marketing to prospective students 	streams developed. E.g. HE and International student markets					
F4	A	Uncertainty caused by Government policy	<p style="text-align: center;">A</p> <ul style="list-style-type: none"> Monitoring Government announcements 	<ul style="list-style-type: none"> Investigate other opportunities 	Principal	DP & BD	18	6	3
C1	A	Failure to improve value added on BTEC courses	<p style="text-align: center;">A</p> <ul style="list-style-type: none"> Rigorous self-assessment and performance management Carefully tailored action plans to address problem areas with review to assess impact Staff development focused on teaching and learning Teaching & Learning Project 2016/17 to focus on moving student grades from Pass to Merit, and Merit to Distinction 	<ul style="list-style-type: none"> Appropriate intervention form senior managers and leaders Use of an external specialist to assist improvements Consider SLA with Inclusion Support Services Investigate access to other services available to the College. 	Principal	HoS	18	6	3
C3	A	Inability to address increased demand for specialist support services (including financial pressures)	<p style="text-align: center;">A</p> <ul style="list-style-type: none"> Ensure that support for students is based on need and prioritised against funds available Continuous review of services provided 	<ul style="list-style-type: none"> Reduce support to levels which are affordable Look at external support agencies 	P	DP	15	5	3
		CONTINGENCY							
C2	B	Ability to improve overall college success rates	<p style="text-align: center;">A</p> <ul style="list-style-type: none"> Rigorous self-assessment and performance management 	<ul style="list-style-type: none"> Appropriate intervention from senior managers and leaders Use of an external 	DP	HoS	12	6	2

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			<ul style="list-style-type: none"> Consideration of success rates when considering curriculum Staff development focused on teaching and learning Clear Corporation strategy 	specialist to assist improvements					
MA1	B	Critical Incident plans are not fully embedded or tested. (This will include natural occurrences affecting day to day workings at the College)	<p style="text-align: center;">A</p> <ul style="list-style-type: none"> College policies & procedures Approved plan in place Effective testing of the plan and processes Roles of Management 	<ul style="list-style-type: none"> Plans adapted as a result of testing 	Principal	BD	12	6	2
MA2	B	The College is unable to retain sufficient staff at the required levels/quality when required	<p style="text-align: center;">A</p> <ul style="list-style-type: none"> Assess the correct nature of staff required Ensure timely recruiting Ensure effective interviewing to employ best candidates Advertise curriculum posts nationally via TES to secure best applicants 	<ul style="list-style-type: none"> Effective intervention if staff not up to scratch Review recruitment policy in a timely fashion 	Principal	DP	12	6	2
MA12	B	Damage to college reputation as a result of the Land Development proposal	<ul style="list-style-type: none"> Contact parents and press once planning application has been submitted Meet with local Councillors 	<ul style="list-style-type: none"> Further press release Seek additional marketing strategy 	Principal	Principal BD	12	4	3
HR3	B	SLT and Directors potentially lack the capacity and experience to deliver the Strategic Plan	<p style="text-align: center;">S</p> <ul style="list-style-type: none"> Robust recruitment processes Continuous review of on-going quality and delivery on senior leaders and Corporation decisions Effective Search & Governance committee in respect of Governor appointments 	<ul style="list-style-type: none"> Seek timely appointment of new staff to replace any failure after college processes have been exhausted Seek assistance of external agencies if required. i.e. Auditors 	Governors Principal	SLT Govs	10	5	2
P2	B	Inadequate student social space and consequential effect on reputation and student numbers	<p style="text-align: center;">S</p> <ul style="list-style-type: none"> Take notice of student voice Have College strategy to 	<ul style="list-style-type: none"> Highlighting the positive attribute of the college in marketing 	Principal	DP/BD	10	5	2

Key: W = Weak A = Adequate S = Strong

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			develop any student social space <ul style="list-style-type: none"> • Temporary solutions put in place if required 						

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F1	A	Financial instability resulting from efficiency gains required by Government		Principal	BD	6	3	2
MA3	C	Governors and managers are not sufficiently responsive to change and do not take advantage of opportunities or tackle immediate problems		Principal/Chair	SLT/Clerk	6	6	1
MA4	C	Health and Safety requirements are not maintained, for example, offsite risk assessments, work experience incidents, possibly leading to accidents/HSE review		BD	H&S Officer SLT/HoS	6	6	1
F3	C	The college has inadequate insurance cover or suffers reputational damage or financial loss from unforeseen serious incident		Principal	BD	6	6	1
F4	C	Forecasting procedures linking with strategic plan are unreliable/inaccurate		BD	Reg Mgr	6	6	1
MA5	C	Governors of the College lacks appropriate skills/dynamism to deliver the strategic plan		Principal Chair	SLT/ LEP	6	6	1
C4	C	Student achievement adversely affecting value-added significantly		SLT	DP/HoS	6	3	2
C5	C	Enrolment processes inadequate to establish student learning needs and learning support		DP	CD/HoS	6	6	1
P3	C	The College is not delivering against its planned building maintenance schedule		Principal	BD	6	3	2
MA6	C	Withdrawal of government funded support schemes resulting in reduced participation		Principal	DP	6	6	1
MA7	C	Hacking of systems resulting in data/system corruption/loss. Security of MIS found wanting		P	IT Mgr	6	6	1
F5	C	Inadequate controls over payroll fraud		P	BD	6	6	1
F6	D	Breakdowns in key financial controls leading to inaccurate, incomplete and unreliable financial information		PH	BD	5	5	1
MA8	D	Failure to maintain effective Safeguarding and Prevent strategy		Principal	DP	5	5	1
G1	D	Insufficient governors		Chair	Clerk	4	4	1
MA9	D	Inaccuracies in key data leading to poor business planning		BD	Reg Mgr	4	4	1
G2	D	Governors fail to act within the College's Instrument & Articles of Government		Chair	Clerk	4	4	1
F7	D	College has ineffective Anti-Bribery Policy		Principal	BD	4	4	1
C7	D	Reduction in Adult Education funding leading to reduction in staffing in area		Principal	AE Mgr	4	2	2
MA 10	D	Partnership working does not realise expected benefits.		Principal	DP	4	2	2
MA 11	D	Procurement policies do not achieve value for money		PH	BD	3	3	1
G3	D	Governors do not receive adequate training/briefing on key issues		Chair	Clerk	3	3	1
C6	D	Curriculum delivery is inflexible, and staff are not up to date		Principal/ DP	HOS AE Mgr	3	3	1

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		Risks Removed 2009 None						
		Risks removed 2010						
CS1	A	Threats to the successful delivery of College's current capital building project						
HR2	A	Swine Flu breaks out at the College						
		Risks removed 2011 None						
		Risks removed 2012						
F2	B	Uncertainty of LA commissioning						
		Risks removed 2013						
C2	B	Ofsted inspection has a less favourable Ofsted report than previously						
C8	D	Low quality short course provision results in withdrawal of funding streams						
		Risks removed 2014						
C8	C	Student enrolments significantly decrease						
F4	C	College has inadequate insurance cover – merged with F3						
P5	C	Natural occurrences affecting day to day activities – merged with MA1						
C6	C	Work experience incidents – merged with MA3						
		Risks removed 2015						
HR3	B	Epidemic or contagious disease outbreak – merged with MA1						
P2	B	Specific incident/accident arising from capital works on site						
P4	C	Serious security incident from external threat – merged with MA1						
		Risks removed 2016						
C1	B	Failure to develop and operate an effective marketing strategy – subsumed within F2						
HR3	C	Safeguarding is not embedded within the College						
C6	D	Retention rates significantly decrease						
C5	C	Students enrolments significantly decrease						
		Risks that could be considered by Risk Group for future inclusion (Oct 2016)						
		STAFF KEY HOS = Pete Bailey, Jenny Soulby, Julian Bowker, Sue Hirshler, Alison Frost, Stephen Last, Celia Green PRINCIPAL = Phil Harland DP = Jill Arnold CD = Pete Bailey BD = Elaine French SLT = Phil Harland, Jill Arnold CLT = SLT + HOS + Assistant HOS OTHER = Martin Bentley, Elaine French, Ian Harrower, Janice Robinson, Dean Craggs, Louise Pennington, Jane Schofield, Nick Stubbs, Louise Pennington, Elaine Thompson						

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