

RISK REGISTER 2020-21

A - Significant risk	Score 13 - 18
B - Contingency risk	Score 9 - 12
C - Identified risk	Score 6 - 8
D - Monitored risk	Score 1 - 5

The maximum score is 18 = 6 likelihood + 3 impact

NO.	RISK CATEGORY	RISK	Controls	CONTINGENCY ARRANGEMENTS	RESPONSIBILITY	ACTION	RISK SCORE	IMPACT SCORE	LIKELIHOOD SCORE
		SIGNIFICANT							
HR2	A	Staff morale deteriorates as a consequence of heavy workload and restrictions on remuneration leading to a diminishing of the student experience.	<p style="text-align: center;">A</p> <ul style="list-style-type: none"> • Key events adequately planned to assist workloads • Develop good communication strategy • Focus on staff wellbeing • Effective use of INSET • Good welfare and staff care • Management responds appropriately, when necessary • Included in Ofsted inspection enquiries 	<ul style="list-style-type: none"> • Reconsider approaches to staff consultation and welfare 	Principal	DP	18	6	3
P1	A	There are insufficient resources of the right type available to meet accommodation needs, achievable within required timescales and with successful planning outcomes. 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 	<ul style="list-style-type: none"> • Consider alternatives such as recommissioning office space and other areas • Waiting lists for some courses • Work collaboratively with to other providers • Look at off-site provision • Resource sharing 	Principal	VP (R)	18	6	3

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			accommodation requirements <ul style="list-style-type: none"> • Monitor IT and other equipment usage • Scheduled maintenance programme to ensure all accommodation is fit for purpose • Annual minor works programme to address changing accommodation requirements 						
F2	A	Risk of not growing due to competition and demand affecting financial viability.	A <ul style="list-style-type: none"> • Governor & SLT monitoring of student numbers • 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 • Seek Capital funding to grow accommodation 	<ul style="list-style-type: none"> • Curriculum changes to reflect demand • Alternative income streams developed. E.g. HE and International student markets 	Principal	SLT	18	6	3
F4	A	Uncertainty caused by Government policy	A <ul style="list-style-type: none"> • Monitoring Government announcements 	<ul style="list-style-type: none"> • Investigate other opportunities 	Principal	SLT	18	6	3
C1	A	Failure to improve value added on BTEC courses	A <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 	<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 	Principal	HoS	18	6	3

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			<ul style="list-style-type: none"> learning Dedicated Assistant Head of School appointed 	<ul style="list-style-type: none"> Investigate access to other services available to the College. 					
MA13	A	Pandemic forces significant changes to College operations and/or closure	<ul style="list-style-type: none"> Check government advice daily Inform staff and students of up to date advice re reporting, self-care and college procedures Implement enhanced cleaning and sanitising Consider impact of similarly affected external bodies Prioritise support for staff – weekly briefing, advice for managers re supporting teams Weekly staffing updates to SLT Weekly review of specific risk assessment and guidance Monitor and control persons on site Staff return to College survey Monitor IT support Obtain appropriate insurance advice Arrange PPE where necessary 	<ul style="list-style-type: none"> Plan for home working and on-site business critical skeleton staff Record any directly related costs for potential insurance/government claims Provide remote conferencing facilities Model alternative financial scenarios 	SLT	SLT	18	6	3
		CONTINGENCY							
HR1	B	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 	<ul style="list-style-type: none"> Appointment of temporary specialists Work collaboratively with other providers 	Principal	SLT	12	6	2

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			<ul style="list-style-type: none"> Share knowledge and skills within teams 						
C2	B	Inability to improve overall college achievement rates	<p style="text-align: center;">A</p> <ul style="list-style-type: none"> Rigorous self-assessment and performance management Consideration of achievement rates when considering curriculum Staff development focused on teaching and learning Seeking ways to reinforce student achievement at the end of YR1 Quality cycle redeveloped and implemented with in-year data underpinning in-year actions for improvement Full and consistent use of ALPS tracking Sharing good practice including EQRs 	<ul style="list-style-type: none"> Appropriate intervention from senior managers and leaders Use of an external specialist to assist improvements 	DP	HoS	12	6	2
C3	B	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 Appoint dedicated Mental Health Worker 	<ul style="list-style-type: none"> Reduce support to levels which are affordable Access to external support agencies 	Principal	VP (s)	10	5	2
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 and regularly reviewed plan in place Effective testing of the plan and processes Roles of Management Regular scenario testing and awareness training 	<ul style="list-style-type: none"> Plans adapted as a result of testing 	Principal	VP (R)	12	6	2

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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	<ul style="list-style-type: none"> Monitor student behaviour outside of the college perimeter through duty rotas Contact parents and press to discuss plans/issues Meet with local Councillors 	<ul style="list-style-type: none"> Further press release Seek additional marketing strategy 	Principal	SLT	12	4	3
HR3	B	SLT lack the capacity 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 Review roles and responsibilities to ensure adequacy and continuity 	<ul style="list-style-type: none"> Seek timely appointment of new staff 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 develop any student social space Temporary solutions put in place if required 	<ul style="list-style-type: none"> Highlighting the positive attribute of the college in marketing 	Principal	SLT	10	5	2
P6	B	Failure to properly manage the risks associated with construction works	<p style="text-align: center;">A</p> <ul style="list-style-type: none"> Regular project meetings 	<ul style="list-style-type: none"> Project updates to be included in Risk Group agenda 	Principal	VP (R)	12	6	2

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			<ul style="list-style-type: none"> Monitor construction phase plans and documentation Include H&S Advisor in project meetings and communications Comprehensive risk assessment for major building projects 						
HR4	B	Appointment of new Principal triggers an Ofsted inspection, changes the strategic direction, impacts on student outcomes and enrolment	<ul style="list-style-type: none"> Robust recruitment process led by AOC and Governors Transition/handover plan implemented by SLT 	<ul style="list-style-type: none"> Monitoring and support by governors 	Governors /Principal	Govs SLT	10	5	2

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NO.	RISK CATEGORY	RISK	CONTROL LEVEL	RESPONSIBILITY	ACTION	RISK SCORE	IMPACT SCORE	LIKELIHOOD SCORE
F1	C	Financial instability resulting from efficiency gains required by Government		Principal	VP(R)	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	VP(R)	6	6	1
F4	C	Forecasting procedures linking with strategic plan are unreliable/inaccurate		VP(R)	VP(R)	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		VP(S)	SLT/HoS	6	6	1
P3	C	The College is not delivering against its planned building maintenance schedule		Principal	VP(R)	6	3	2
MA6	C	Withdrawal of government funded support schemes resulting in reduced participation		Principal	VP(S)	6	6	1
MA7	C	Hacking of systems resulting in data/system corruption/loss. Security of MIS found wanting		Principal	IT Mgr	6	6	1
F5	C	Inadequate controls over payroll fraud		Principal	VP(R)	6	6	1
F6	D	Breakdowns in key financial controls leading to inaccurate, incomplete and unreliable financial information		PH	VP(R)	5	5	1
MA8	D	Failure to maintain effective Safeguarding and Prevent strategy		Principal	VP(S)	5	5	1
G1	D	Insufficient governors		Chair	Clerk	4	4	1
MA9	D	Inaccuracies in key data leading to poor business planning		SLT	Reg/MIS 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 or Anti-Fraud Policy		Principal	VP(R)	4	4	1
C7	D	Reduction in Adult Education funding leading to reduction in staffing in area		Principal	DP/ AE Mgr	4	2	2
MA10	D	Partnership working does not realise expected benefits.		Principal	SLT	4	2	2
MA11	D	Procurement policies do not achieve value for money		Principal	VP(R)	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						
		STAFF KEY PRINCIPAL = Donna-Marie Janson DP = Pete Bailey VP Students = Lisa Watkin-Stevens VP Resources = Elaine French SLT = Donna-Marie Janson, Pete Bailey, Elaine French, Lisa Watkin-Stevens HOS = Jenny Soubly, Julian Bowker, Alison Frost, Stephen Villanueva-Last, Jo Hambleton, Avril Mackenzie-Parr, Lee Finlay-Gray OTHER = Martin Bentley, Jackie Francis, Janice Robinson, Jonathan Furnell, Louise Pennington, Emma Rich, Nick Stubbs	NO/RISK CATEGORY KEY W = Weak A = Adequate S = Strong C = Curriculum F = Finance G = Governance HR = Human Resources MA = Management/Administration P = Premises CS = Capital Strategy					

