GCRB | Glasgow Colleges' Regional Board

Audit Committee Meeting

Date of Meeting	Tuesday 29 May 2018
Paper Title	Annual Report on the Assessment and Management of Risk
Agenda Item	16
Paper Number	AC4-L
Responsible Officer	Robin Ashton, GCRB Executive Director
Status	Disclosable
Action	For Approval

1. **Report Purpose**

    1.1. This paper provides a report on GCRB's risk management framework and processes for Committee review.

2. **Recommendations**

    2.1. The Committee is invited to:

    i   **review** GCRB's current risk management framework and processes;

    ii   **recommend** to the GCRB Board that it undertake a review of risks identified within its risk register at its planned strategic development day in August 2018; and

    iii   to **confirm**, subject to any if any proposed amendments, that it is satisfied with GCRB's current risk management framework and processes.

3. **Background**

    3.1. The Committee's terms of reference give it an advisory role with regard to GCRB's "strategic processes for risk".

    3.2. This report provides an opportunity for the Committee to review these processes and suggest any amendments to the GCRB Board.

4. **GCRB's Risk Management Framework and Processes**

    4.1. GCRB's current risk management framework consists of the following elements:

    - Risk Management Guidance and a Risk Management Policy and Procedure. These are largely based on equivalent documents used in the assigned colleges and the concepts are generally consistent with standard risk management practice. The Risk Management Guidance sets out GCRB's risk management approach and provides detail on risk scores and definitions. GCRB's Risk Policy and Procedure includes a description of GCRB's risk appetite along with a risk identification,

review and escalation procedure. Copies of these documents are attached as annexes to this report and these versions were reviewed and approved by the GCRB Board in September 2017.

- A copy of the Risk Register is attached as Annex C. This summarises identified risks and was developed on the basis of a review of GCRB's risk management arrangements undertaken by the Internal Auditor and a Board Risk Management Workshop held on 2 June 2017. Each risk has an identified 'Risk Owner', risks are linked to the ambitions identified within Glasgow Region Strategic Plan, and control measures are identified with an identified 'Control Owner'.

4.2. In addition to these GCRB documents, the Scottish Government and Scottish Funding Council use a framework to assess risk at an organisational level. The framework examines a number of criteria including an assessment of Finance/Governance, Learning/Teaching and Estates. The framework is now also regularly reviewed by the GCRB Executive and used to inform the regional risk management process.

4.3. In terms of GCRB's risk processes, the following activities are undertaken:

- The GCRB Executive review and update the GCRB risk register (including consideration of the Scottish Funding Council Risk framework) on a bi-weekly basis;

- The GCRB Board considers its risk register at every meeting. This review includes a more detailed focus on a small number of risks, with all risks reviewed in this way at least once per annum;

- All GCRB Board and Committee reports reflect on risk implications and impact GCRB's assessment and management of risk;

- A review of college risk registers is presented to the GCRB Audit Committee on a quarterly basis; and

- Opportunities are provided for GCRB Board member consideration of risk within workshop type events, such as the joint meeting of college and GCRB Audit Committee members and the GCRB Board Risk Management workshop held in June 2017. It is suggested that the Committee recommends to the GCRB Board that it undertake a review of risks identified within its risk register at its planned strategic development day in August 2018.

4.4. Members should note that the recently completed Board External Effectiveness Review recommended that the GCRB Board consider how it could create more explicit linkages to the performance management framework across the Glasgow Region. It is therefore suggested that this is also considered within Board risk discussions at the August 2018 strategic development day.

4.5. Committee members are invited to review GCRB's current Risk Management Framework and Processes and to confirm, subject to any if any proposed amendments, that it is satisfied with the risk management framework and processes.

5.   Legal Implications

   5.1.   Paragraph 17 of the Financial Memorandum between the Scottish Funding Council and
            GCRB requires GCRB to have an effective policy of risk management and risk
            management arrangements.

6.   Financial Implications

   6.1.   Relevant financial risks are referred to in the risk register.

7.   Strategic Implications

   7.1.   Through the conditions of grant associated with the Regional Outcome Agreement,
            GCRB is required to conduct its affairs in accordance with the expected standards of
            good governance, which include establishing appropriate risk management
            arrangements.

Risk Management Policy and Procedure

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Risk Management Policy and Procedure

1   Introduction

1.1   This Risk Management Policy and Procedure form part of GCRB's internal control and corporate governance arrangements.

2   Purpose and Aims

2.1   The Policy and Procedure explains GCRB's underlying approach to risk management, and documents the roles and responsibilities of the Board and management, in developing a culture of risk management throughout GCRB. The Policy and Procedure also outlines the key aspects of the risk management process, and identifies the main reporting procedures.

3   Scope

3.1   This applies to all GCRB activities, and at all levels within the organisation.

4   Policy Statement

4.1   Key Principles

The following key principles outline GCRB's approach to risk management and internal control:

4.1.1   The Board has responsibility for overseeing risk management within GCRB as a whole and regular monitoring of Risk is undertaken by the Board.

4.1.2   GCRB adopts an open and receptive approach to risk identification and management.

4.1.3   The management team supports, advises and implements policies and strategies approved by the Board.

4.1.4   GCRB makes conservative, and prudent, recognition and disclosure of the financial and non-financial implications of risks.

4.1.5   The management team is responsible for ensuring good risk management practice.

4.1.6   The management team takes into account the possibility of the differential impact of risks, and risk treatments, upon people who share protected characteristics[1].

4.1.7   Key risk indicators will be identified and closely monitored on a regular basis.

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1 http://www.equalityhumanrights.com/advice-and-guidance/new-equality-act-guidance/protected-characteristics-definitions/

4.1.8 GCRB would, in general, seek to treat risks with the potential of negative impact prudently. However, the Board and the management team recognise the possibility of positive outcomes in the treatment of risks, and accordingly will be careful to evaluate each risk individually. "Risk appetite" will be determined by the Board with guidance from the management team. (See Section 6 below).

5   Definitions

5.1   HM Treasury defines "Risk" thus:

"Risk is defined as [the] uncertainty of outcome, whether positive opportunity or negative threat, of actions and events. The risk has to be assessed in respect of the combination of the likelihood of something happening, and the impact which arises if it does actually happen"[2]. Risk in the context of GCRB will focus upon those uncertain events, which would, if they occurred, result in a negative impact on the operation and objectives of GCRB.[3] This is the definition of risk used in all GCRB documents relating to Risk Management.

6   Risk Appetite

6.1   GCRB's approach is to minimise its risks, whilst accepting and encouraging an increased degree of risk in pursuit of its mission and objectives. It recognises that its appetite for risk varies according to the activity undertaken, and that its acceptance of risk is subject always to ensuring that potential benefits and risks are fully understood before developments are authorised, and that sensible measures to mitigate risk are established. GCRB's appetite for risk across its activities is provided in the following statements, and is illustrated diagrammatically:

Appetite level	Low	Medium	High
Risk score	**1-2**	**3-5**	**6-9**
Macro-Economic Changes	■		
Opportunities	■	■	
Education & Student Experience	■	■	
Internal/External Relationships	■	■	
Quality of Learning & Teaching	■		
Reputation	■		
Compliance	■		
Financial	■	■	
People and Culture	■		

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[2] HM Treasury Orange Book

[3] It should be noted, however, that the opportunity for a positive outcome should not be overlooked in the management of risks.

6.2   Macro-Economic Changes – GCRB is aware that changes in the external environment could have a material impact on our activities. In respect of macro-economic changes, it will maintain a watching brief and be prepared to respond as appropriate. GCRB will also constrain its activities to those external factors that it can influence i.e. it will maintain a cautious approach and seek to minimise the risks posed by the external environment.

6.3   Opportunities – GCRB wishes to achieve the ambitions set out in the Glasgow Region Strategic Plan. In order to realise ambitions, and seize opportunities, GCRB recognises that there is an element of risk attached to this. It is prepared to accept a level of risk in order to achieve its ambitions.

6.4   Education and Student Experience – GCRB hopes that students in the region will be stimulated to develop a lifelong ambition for knowledge and learning, and therefore encourages an innovative approach to learning delivery. It recognises that this should involve an increased degree of risk in developing education and the student experience, and is comfortable in accepting this risk. This is subject to ensuring that potential benefits, and risks, are fully understood and that sensible measures to mitigate risk are established.

6.5   Internal/External Relationships – GCRB does not deliver services directly but is an enabling body. As such, internal and external relationships are pivotal to its success. There will be existing relationships to develop and new partnerships to be fostered. There are risks attached to such relationships and GCRB is prepared to accept a level of risk that is commensurate with the on-going development of such partnerships.

6.6   Quality of Learning and Teaching – high standards of learning and teaching are at the core of our success and underpin everything else. The risk appetite is therefore low.

6.7   Reputation - it is critical that GCRB maintains a high reputation. GCRB therefore has low appetite for risk in the conduct of any of its activities that could put its reputation in jeopardy, could lead to adverse publicity, or could lead to loss of confidence by the Scottish and UK political establishment, and funders of its activities.

6.8   Governance – it is vital that GCRB upholds the highest standards of corporate governance and there is no appetite for risk taking in this respect. The risk appetite for this aspect of GCRB is low.

6.9   Compliance – GCRB places great importance on compliance, and has no appetite for any breaches in statute, regulation, professional standards, bribery or fraud.

6.10   Financial – GCRB aims to achieve long term financial viability and overall financial strength for both itself and the region. It is prepared to accept some financial risk in order to achieve the ambitions of the strategic plan.

6.11   People and culture – GCRB will support the assigned colleges in their efforts to value, support, develop and utilise the full potential of staff across the region. GCRB places importance on a culture of equality and diversity, dignity and respect, collegiality, the

development of staff, and the health and safety of staff, students and visitors. It has low appetite for any deviation from the recognised standards in these areas.

7   Responsibilities

7.1   Role of the Board

The Board has a fundamental role to play in the management of risk. Its role is to:

7.1.1 Set the tone, and influence the culture of risk management within GCRB, including:
- Determining whether GCRB is 'risk taking' or 'risk averse' as a whole or on any relevant individual issue (i.e. determining "risk appetite" for each risk).
- Determining what types of risk are acceptable and which are not.
- Setting the expectations of staff members with respect to conduct and probity.

7.1.2 Approve major decisions affecting GCRB's risk profile or exposure.

7.1.3 Review risks at each main meeting of the Board and monitor the management of significant risks to reduce the likelihood of significant adverse outcomes.

7.1.4 Seek assurance that the less significant risks are being actively managed, with the appropriate controls in place and working effectively.

7.1.5 Annually review GCRB's approach to risk management and approve changes or improvements to key elements of its processes and procedures.

7.1.6 Annually review the effectiveness of internal control of GCRB, based on information provided by the management team. Its approach is outlined in the Risk Management Procedure.

7.2   Role of the Audit Committee

The role of the Audit Committee is to support the Board in the fulfilment of its responsibilities for risk management by:

7.2.1 Advising the Board on the appropriate tone and culture of risk management.

7.2.2 Advising the Board on major decisions affecting GCRB's risk profile or exposure.

7.2.3 Annually review GCRB's approach to risk management and approve changes, or improvements to, key elements of its processes and procedures.

7.2.4 Annually review the effectiveness of internal control of GCRB, based on information provided by the management team. Its approach is outlined in the Risk Management Procedure.

7.3   Role of the Management Team

The key roles of the management team are to:

7.3.1 Implement policies on risk management and internal control.

7.3.2 Identify, and evaluate regularly, the significant risks faced by GCRB for consideration by the Board.

7.3.3 Liaise with the assigned colleges to share information on the identification and management of risks, and to promote consistency in risk management across the region (to the extent that it is appropriate and relevant to do so).

7.3.4 Provide adequate information in a timely manner to the Board and its committees on the status of risks and controls.

7.3.5 Include a section on risk management implications on all formal reports the Board and its committees.

7.3.6 Undertake an annual review of effectiveness of the system of internal control and provide a report to the Board.

7.4   Role of Internal Audit

7.4.1 Internal audit will conduct an annual review of the internal control system.

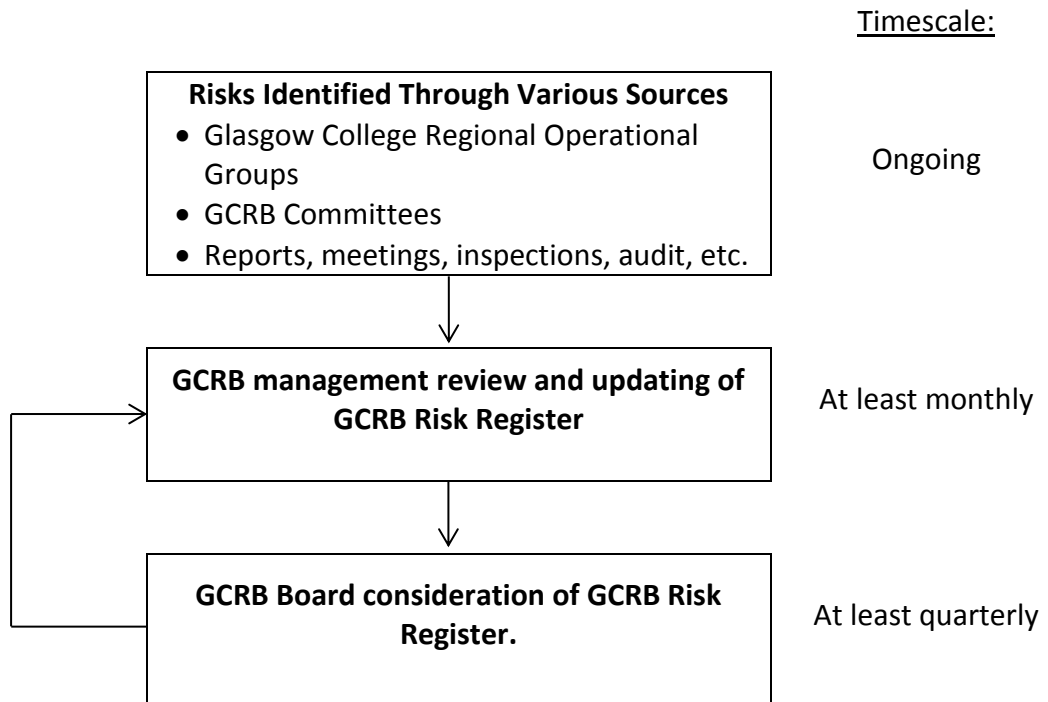## 8   Risk Identification, Review and Escalation Procedure

8.1   Progress towards meeting Regional Outcome Agreement objectives is monitored regularly. Risks are linked to strategic priorities as outlined in the Regional Outcome Agreement.

8.2   GCRB management will review and update the Risk Register at least monthly. The Executive Director will ensure that the Risk Register is maintained. The Risk Register provides detail of the impact and likelihood of individual risks ("risk score"), how risks will be controlled and mitigated, who will manage ("own") the risks, and an account of risk treatment actions. The Risk Register should indicate linkage of risks to the achievement of strategic priorities.

8.3   Generic guidance on Risk Management, and reviewing the Risk Register in particular, is provided in the Risk Management Guidance document, which should be read in conjunction with the Risk Management Policy and Procedure.

8.4   The Risk Register is approved by the Board, with advice from the Audit Committee, and guidance from the management team. The documents are formally reviewed at each main meeting of the Board (although emerging risks are added as required, and improvement actions and risk indicators are monitored regularly).

8.5   The flowchart below provides an overview of the risk identification, review and escalation procedure.

<u>Timescale:</u>

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┌────────────────────────────────────────┐
│  Risks Identified Through Various Sources │        Ongoing
│  • Glasgow College Regional Operational  │
│    Groups                                 │
│  • GCRB Committees                        │
│  • Reports, meetings, inspections, audit, etc. │
└────────────────────────────────────────┘
                    │
                    ▼
┌────────────────────────────────────────┐
│  GCRB management review and updating of   │     At least monthly
│  GCRB Risk Register                       │
└────────────────────────────────────────┘
                    │
                    ▼
┌────────────────────────────────────────┐
│  GCRB Board consideration of GCRB Risk    │     At least quarterly
│  Register.                                │
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Risk Management Guidance

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Risk Management Guidance

1. Introduction

The document should be read in conjunction with the Risk Policy and Procedure.

2. Managing Risk

The approach to identifying, prioritising, and managing risk should be open and receptive. It is also recognised that effective risk management at strategic and operational levels requires open participation. The purpose of risk management is to manage the barriers to achieving GCRB's objectives. The key to progress and innovation lies in being "risk aware" not necessarily "risk averse". So GCRB's Risk Policy and Procedure clearly recognises "the possibility of positive outcomes in the treatment of risk" and the need to "evaluate each risk individually".

The purpose of this document is to provide a concise guide to using the Risk Register and Risk Matrix.

3. Risk Categories

All identified risks have been grouped together and aligned to the Glasgow Region Strategic Plan for College Education 2017-2022.

4. Risk Management Approach

Risk management is concerned with addressing uncertainty, and taking steps to manage a situation or potential situation. In so doing, the opportunity to best manage the risk is enhanced with the fullest possible understanding of the associated consequences and opportunities.

This approach is monitored by the Board, Audit Committee and management team, to increase confidence in the organisation's ability to cope with events or circumstances, which would potentially impact negatively on the operation and function of GCRB. The key treatment strategies for risks are mitigation - that is, to take steps to reduce the impact and/or likelihood of the risk - and avoidance of the risk altogether.

However, there are other risk management treatments; five in all:

- Mitigate: take actions to reduce the impact/and/or likelihood of the risk

- Avoid: adopt a different approach in order not to take the risk

- Transfer: take out insurance, warranty, or otherwise contract another party to take the risk (usually for a premium or fee)

- Share: similar to Transfer - come to an agreement with another party to spread the risk, e.g. with a partner organisation in collaboration

- Accept: accept the risk; then monitor, review and make contingency plans. Whether or not it is appropriate to 'accept' a risk will be influenced by the relevant level of risk tolerance as defined in the Risk Policy and Procedure.

It should be emphasised that risk is not an excuse to be unimaginative – being aware of risk should not stifle innovation. But rather, the confidence which proper management of risk gives to an organisation should be the foundation for assured progress.
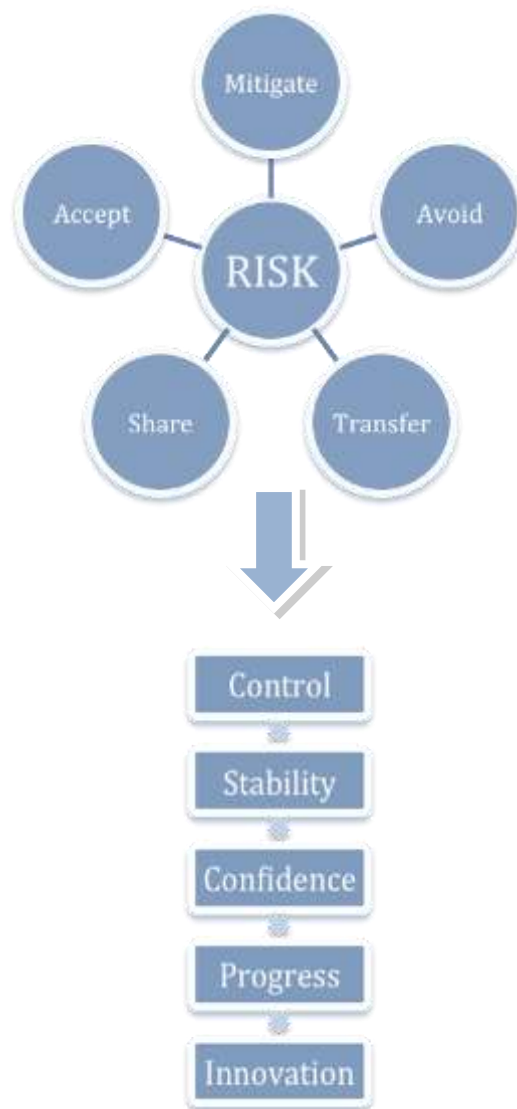
5. The Risk Matrix

The Risk Matrix provides a summary of the strategic risks arranged by risk score (likelihood multiplied by impact). The Matrix thereby provides a simple reference tool to highlight movement of risks between the high/low likelihood, and high/low impact axes, and to highlight new or deleted risks. The Matrix is compiled by the management team.

6.   The Risk Register

The Risk Register provides a means to record details of all strategic risks with risk owners, a risk evaluation in terms of likelihood and impact, risk tolerance, and last review date. The Risk Register also indicates links to the Risk Management Action Plans for each risk.

7.   Risk Management

The Risk Owners are required to provide regular updates on progress with regards to risk actions and other changes, and highlight any proposed changes to risk likelihood or impact. Changes to risk score if any, Gross Risk Score, and the Risk Tolerance will be recorded in the papers and minutes of the Board and Executive Meetings.

The management team is required to advise the Board and its Audit Committee of any emerging risks to GCRB, together with guidance on appropriate risk score and treatment actions.

8.   Risk Score and Definitions

Risks are scored according to likelihood and impact, each scored 1, 2 or 3, low to high. Risk likelihood is largely self-explanatory, and category definitions are provided below.

Risk impact is defined below in terms of potential financial loss to GCRB. It is acknowledged that some risk consequences are easier to quantify by this measure than others.

Likelihood	
Category	**Description**
High (Score 3)	Almost certain or very likely to occur
Medium (Score 2)	Some probability it will occur, but still significant uncertainty
Low (Score 1)	Improbable occurrence, not expected to happen; but possible.

Impact		
Category	**Description**	**Estimated Financial Impact**
High (Score 3)	Failure to deliver outcome.	> 2.5% of total income
Medium (Score 2)	Significant delay to, or risk of non-achievement of outcome.	1.0 – 2.5% of total income
Low (Score 1)	Minor or negligible effect on outcome.	< 1.0% of total income

The Risk Score is obtained by multiplying impact by likelihood, e.g. impact of 2 x likelihood of 3 = Risk Score of 6. This may change as likelihood or impact is judged to have changed. Current risk scores are RAG rated on the register: Score 9 = red, score 6 = amber, score 4 or less = green, indicating high, medium, or low scores.

Past versions of the Risk Register, including previous risk scores, are archived to maintain a record of risk management. The Risk Tolerance Score, recorded on the Register, sets the GCRB's appetite for risk for this category of risk. The Gross Risk Score, recorded on the Risk MAPs, indicates the risk score assuming no mitigation.

9.   Closed Risks

Some risks are ongoing, although the description of these risks may vary over time as circumstances change. Other risks will have a defined timescale during which they require to be managed to a conclusion. In such cases the management team and Board will confirm closure of the risk, and remove it from the Risk Register and Matrix. The Board will consider the success of the Risk Management Plan for each closed risk.

RISK REGISTER

Prepared By:
Date:

Glasgow Region Strategic Plan	Risk ID	Risk Owner	Risk Description	Likeli-hood	Impact	Net Risk Score	Risk Appetite	Recent Trend	Mitigating Actions	Responsibility for Mitigating Action	Target Risk Score	January to March Update	April to June Update
Ambitious for Glasgow	001	Board	Poor environment scanning, and scenario planning, results in a failure to respond proactively to macro-level changes (reviewed 26 Mar 2018).	1	2	2	Low (1/2)	→	Ensure Board are informed of environmental developments, economic trends, policy developments etc. by proactively managing board/committee agendas, providing policy briefing notes, developing board member communications and online access to information. Constrain activity to those external factors GCRB can influence	Exec Director	2	Audit Scotland Review of Colleges and Regions 2018. College responses to Cole report as requested by SG/SFC. Review of Regional Skills Assessment completed and considered by regional Learning and Teaching Group. Environment scanning paper discussed by meeting of college and GCRB Chairs, Principals and Executive Director.	Exec Director attended Colleges Scotland Principals Group & National Policy Group. Audit Scotland Review expected in June, constructive feedback received. GCRB participation in City Region Economic Strategy development workshop.
	002	Board	Effective working relationships are not developed/maintained with key partners due to a focus on short-term internal priorities **(to review 18 June 2018).**	1	2	2	Medium (3/4)	→	Develop engagment strategy with key partners and maximise their participation in regional structures. Through board development promote opportunities for board member engagment with stakeholders and fully utilise range of board members skills.	Exec Director, Chair & Board Members	3	Mtg with SFC/Michael Cross end Jan. ESOL funding letter. GCRB Participation on Glasgow City Council Inclusive Cities and Glasgow Partnership for Economic Growth Groups, and work to develop a city-region intelligence hub. 1:1 meetings held by GCRB Chair with John Kemp, Shona Struthers and Aileen McKechnie.	GCRB Chair met with Minister in May GCRB meeting with Colleges Scotland in Apr. Chair attended Colleges Scotland Board. Finance and Resource Director co-opted to Funding & Finance Group? GCRB strategic liaison meeting with SFC. Chair and Exec Director mtg with Chief Exec of SDS in May.
	003	Board	The reputation of the College Sector in Glasgow is damaged as a result of adverse publicity (reviewed 30 Oct 2017)	2	2	4	Low (1/2)	→	Strengthen partnership approaches to information sharing and coherence of management actions and responses (no surprises). Develop communications strategy to promote benefits of regional approach. Seek to adress issue of board information being leaked to the detriment of GCRB.	Exec Director	2	Paper to March Board seeking approval of approach to confidentiality and disclosure. Annual review 2016-17 published and distributed to stakeholders. E briefing on new Chair appointment.	Medium term communications plan reviewed and updated. GCRB Chair interview in TES. Foundation Apprenticeship celebration event being planned. 'Spotlight' newsletter on Childcare published. Further E Briefings planned.
	004	Board	Opportunities are missed/not resourced appropriately and the potential to add value via the strategic plan is overlooked **(to review 18 June 2018).**	2	1	2	Medium (3/4)	→	Identify development opportunities within collaborative planning activity, specifying resources and choices.	Exec Director	3	Proposal to develop a regional approach to the development of a new student data system discussed by Chairs/Principals and Performance and Resources Committee in Mar 18. Finance policy identifies priorities to make a difference.	Regional funding allocation for 18-19 limits GCRB discretion. College student data system proposal whilst based on single systems identifies regional development opportunities. Positive Internal Audit of Regional Lead work and DYW and CPD regional leads initiating CPD programmes to faciliate stronger school/college links and understanding.
Ambitious for Learners	005	Board	A failure to effectively plan/monitor our educational delivery results in the curriculum not meeting regional economic and social needs (reviewed 26 Mar 2018).	1	3	3	Medium (3/4)	→	Continuously improve the quality of our evidence base and undertake systematic reviews of curriculum demand and supply and ensure effective monitoring arrangements.	Exec Director	3	Potential risks re Capita and therefore College MIS systems. Draft ROA strengthens alignment of collective delivery to most recent environment scanning information.	Problems re Capita continue - annual loss of £513m reported in April. Positive meeting with Chief Exec of SDS re skills. Letter of support received. Significant Childcare expansion supported by coherent regional planning.
	006	Executive Director	Fewer learners achieving positive outcomes (reviewed 30 Oct 2017)	2	2	4	Low (1/2)	→	Work with colleges and Education Scotland to review and shape college evaluative reports and quality enhancement plans. Strengthen ROA target setting and monitor progress towards 2017-18 targets.	Exec Director	2	Positive benefit/negative implications of Review of Student Funding and impact on learners. Final student funding allocations for 2018/19 published May 18. Impact on learners of reduction in (ESF funded) student support for 2018/19. Now mitigated by increase in core student support funds.	Govt response to the review of student funding awaited. Final student funding allocations for 2018/19 published May 18. (Regional Leade) Review of student funding provided to P&R Committee in May.
Ambitious for Colleges	007	Board	Financial sustainability is jeopardised by a reduction in funding and/or an increase in costs (reviewed 18 Dec 2017)	2	3	6	Medium (3/4)	→	Develop and enhance long term financial planning. Collate information and identify funding priorities for lobbying. Strengthen key external relationships (SFC, SG, SDS, local authorities, education partners).	Director of Finance, Exec Director & Chair	3	Budget announcements Dec 17 and Feb 18. Meetings to discuss regional funding through Feb and Mar. Risks to ESF (re YEI 2015-16), ESOL, cost of national bargaining, estates - all reduced as a result of generally positive financial settlement in Mar 18.	Meeting with Asst Director of SFC to consider capital funding policy for 2018/19. Mtgs with Glasgow Kelvin and Glasgow Clyde Colleges to review capital plans for 2018/19. Final allocations received May 18 and presented to Board in June.
	008	Executive Director	Failure to achieve the targets set out in the Regional Outcome Agreement lessens our ability to meet regional needs (reviewed 18 Dec 2017)	1	2	2	Low (1/2)	→	Enhance quality and value of performance data and regularly evaluate outcome performance. Address areas for improvement through Enhancement Plans within new national quality arrangements.	Exec Director	2	Intensification of ROA for 2018/19. Challenges meeting FWDF target for 2017/18. Ongoing liaison with Education Scotland on development of national quality arrangements.	Agreed targets for FT FE attainment increase very challenging. Proposal from colleges to establish Retention and Attainment Improvement Group.
	009	Executive Director	Working relationships within the Glasgow College Region (e.g. students, staff, board members) are ineffective and reduces our collective impact **(to review 18 June 2018)**.	2	2	4	Medium (3/4)	→	Continue to develop opportunities for regional collaboration and sharing of information, networking opportunities and relationship building. Board to consider actions to address unauthorised disclosure of information.	All Staff and Board Members	3	Meetings held with ED and college principals, unions and student associations. Chair meetings with college principals and GCRB board members. Meetings of regional operational groups for college principals, learning and teaching and sustainable institutions.	Joint Audit Committee Chairs meeting (May 18). Agreement by CoGC to progress Board approval of memorandum of understanding. Regional Boards Diversity event planned for June 18. GCRB Board Development event planned for August 18.
	010	Executive Director	The approach to people issues (e.g. equality/diversity, skills mix, resourcing of GCRB etc.) is unsatisfactory and we're unable deliver our objectives (reviewed 30 Oct 2017).	2	2	4	Low (1/2)	→	Ensure GCRB staffing is commensurate with Board responsibilities , and that collaborative management structure has capacity to achieve regional ambitions. Ensure Fair Work Framework values fully embeded within GCBR's employer duties. Take forward looking approach to board development and succession planning across the region.	Exec Director, Board Members, Board Secretary	2	Director of Finance appointed and commenced duties on 29 January 2018. Process to tender for GCRB communications support underway. City of Glasgow college currently consulting on significant management restructuring proposals.	Positive Internal Audit report on Regional Lead work. Regional Lead for STEM established to support regional strategy development. GCRB Communications support tender agreed?
	011	Board	The capacity and capability of the Board is inadequate and standards of governance fall below the level required (reviewed 26 March 2018).	1	2	2	Low (1/2)	→	Promote values of good governance, and complete annual review of governance, evaluation of skills and development of board members.	Board Members	2	Ministerial approval received April for 3 appointments and 5 extensions; staff and student election procedures agreed; Development Plan approved; Development Action Plan to go to NRC in May.	Induction of new Board Members. New Chair of P&R Committee. Elections update?
	012	Executive Director	There is a breach of legislation/guidance/code of practice and this results in a failure of governance (reviewed 18 Dec 2017)	1	2	2	Low (1/2)	→	Remain up to date with changes and new developments, ensure knowledge and training are relevant, adopt conservative approach, and take external advice as appropriate.	Executive Team	2	Positive report of external assessor received and submitted to SFC end March 2018. Annual review of compliance with Code of Good Governance due 29 May. Review of Audit Committee against SPFM May. Review and updating of key documents including Scheme of Delegation and Publications Scheme by end of 2017-18 academic year. Shared Service Data Protection Officer - interviews Mar18. GDPR action plan prepared.	Shared Data Protection Officer appointed and commencing role on 21 May
	013	Executive Director	Controls, and preventative measures, are inadequate, which results in a breach of security/safety (e.g. Cyber Attack) **(to review 18 June 2018)**.	2	2	4	Low (1/2)	→	Seek regular assurance to ongoing risks and responsive college plans to emerging issues.	Executive Team	2	Increasing global threats from terrorism/organised crime. Response to Scottish Government publication 'A Cyber Resilience Strategy for Scotland - Public Sector Action Plan 2017-18'. Joint Audit Committee meeting discussed regional responses to Cyber-Security risks.	Report to Audit Committee in May 18.