**RISK & CONTROL REGISTER**

**HEALTH, SOCIAL AND CHILDCARE 2011 -2012**

**Principal activities of the area: Teaching and Learning using commercial sites and resources**

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| **Ref:** | **Activity** |
| 1 | To deliver a range of quality programmes and services that successfully meets the needs of all customers and stakeholders within the Heath, Social and Childcare sector in a flexible, responsive and innovative way |
| 2 | To ensure effective and efficient use of resources and maximise income from DCELLs funding, commercially contracted income and develop cost recovery programmes |
| 3 | Provide a learning environment that ensures the health, safety and welfare of learners and staff. |
| 4 | Provide meaningful and relevant work experience opportunities that enhance the student experience. |

##### Risk Summary

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| **Ref:** | | **Risk No.** | **Risk Description:** | **Consequence**  **(1-6)** | **Likelihood**  **(1-6)** | **Control Effectiveness**  **(1-6)** | **Risk Score**  **(C x L x E)**  **(1-216)** | |
| 1 | | 1.1 | Insufficient interest of learners enrolling on courses at NPTC but enrolling at other colleges and training establishments | 5 | 3 | 1 | 15 | |
|  | | 1.2 | Changes in the labour and skills market | 5 | 3 | 3 | 45 | |
|  | | 1.3 | Lack of teaching staff with relevant and up-to -date qualifications | 5 | 3 | 1 | 15 | |
|  | | 1.4 | Non availability and inadequate specialist teaching rooms preventing programme delivery | 5 | 3 | 2 | 30 | |
|  | | 1.5 | Withdrawal of HE franchise | 5 | 3 | 2 | 30 | |
|  | | 1.6 | Reduction in financial support for students (eg EMA, LSF, ALG) | 5 | 4 | 2 | 40 | |
|  | | 1.7 | Not following a standardised and robust quality assurance process to ensure the quality of the end product for learners and requirements of Awarding Bodies and ESTYN | 6 | 2 | 1 | 12 | |
| 2 | | 2.1 | Insufficient use of accommodation and staff resources | 5 | 3 | 3 | 45 | |
|  | | 2.2 | Not marketing full cost recovery courses to reach full potential audience reducing commercial income opportunities | 6 | 2 | 2 | 24 | |
|  | | 2.3 | Not maximising CEU’s for programmes | 5 | 3 | 1 | 15 | |
|  | | 2.4 | Insufficient capital investment budget | 5 | 3 | 2 | 10 | |
| 3 | | 3.1 | Health and Safety risk assessments not reviewed regularly for accommodation and equipment | 5 | 2 | 1 | 10 | |
|  | | 3.2 | Staff and students not complying with College policies relating to safety and wellbeing | 6 | 3 | 1 | 18 | |
|  | | 3.3 | Failing to utilising the College wide services available to ensure students wellbeing and safety | 4 | 2 | 1 | 8 | |
| 4 | | 4.1 | Lack of suitable placements within the Health Social and Childcare sector | 6 | 4 | 2 | 48 | |
|  | | 4.2 | Delay in the CRB Checks coming back in which could prevent the adequate number of work placement hours being met | 6 | 5 | 1 | 30 | |
|  | | 4.3 | Breakdown of partnership between the College and the Sector | 6 | 3 | 1 | 18 | |
| 1 1.1 | **Activity:** To deliver a range of quality programmes and services that successfully meets the needs of all customers and stakeholders within the Heath, Social and Childcare sector in a flexible, responsive and innovative way  **Activity risk**: Insufficient interest of learners enrolling on courses at NPTC but enrolling at other colleges and training establishments | | | | | **Owner:** | **C:5** | **L:1** |
| **Control(s)** | | | | | | **Resp** | **RAG Status of Control** | |
| **Ref.** | |  | | | |  |  | |
| 1.1.1 | | Efficient and effective marketing procedures including open evenings, written publications, advertising campaigns encourages ensures a healthy interest from prospective learners | | | | HOS, Learner Services, Marketing |  | |
| 1.1.2 | | The schools curriculum maintains access to full time courses for 14-19 year olds and good relationships with partner schools helps in strengthening this. | | | | HOS, Schools coordinator |  | |
| 1.1.3 | | Focus groups within College whose remit involves enrolment and associated issues frequently meet to monitor review and evaluate the process and the progress of operations. | | | | HOS, PL’s, SMT |  | |
| 1.1.4 | | New HOS is working with the team towards the Estyn Inspection and has shared some good practice based on her last role and experience of going through the new inspection framework to build on existing practice. | | | | HOS Team |  | |

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| **Missing / Insufficient Controls** | | | | |
| **Ref.** | **Required additional process** | **Implementation plan** | **Resp** | **Target** |
| 1.1 | Identification of other Colleges/ training providers programmes | Networking and partnerships with other training providers | HOS Course Coordinators | May/June 2012 |

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| **Overall assessment of control effectiveness :** | **2** |

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| I am satisfied that, subject to the remedial actions noted above, the overall suite of controls is adequate to mitigate the risk | …………………………………………………………………………………………  Name, Job Title |

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| 1.2 | **Activity:** To deliver a range of quality programmes and services that successfully meets the needs of all customers and stakeholders within the Heath, Social and Childcare sector in a flexible, responsive and innovative way  **Activity Risk:** Changes in the labour and skills market | |  | **C:5** | **L:1** |
| **Control(s)** | | | **Resp** | **RAG Status of Control** | |
| **Ref.** | |  |  |  | |
| 1.2.1 | | Regular meetings and memberships of agencies in the field of care ensures that the school is proactive in addressing local and National labour and skills market needs, both in the choice of courses it provides (and plans to provide), and curriculum and training needs. | HOS, CC, Team |  | |
| 1.2.2 | | Build and maintaining links with professional bodies by contacts made through involvement with Care Counsel, Childcare Partnership and Health and Social Care Network to keep abreast of developments and changes to the qualification framework | HOS, CC, Team |  | |
| 1.2.3 | | Ensure the team have the right qualifications and experience to meet the changes to the qualification framework QCF (Dec 2012) | HOS, HR Unit |  | |

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| **Missing / Insufficient Controls** | | | | |
| **Ref.** | **Required additional process** | **Implementation plan** | **Resp** | **Target** |
| 1.2 | No final decision has been made regarding the curriculum for Childcare courses under the QCF Framework and the implication for funding and delivery | Attend all H&S Care Network meetings and keep up to day with Care Council developments of the units | HOS  CC | Ongoing –implementation Dec 2012 |

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| **Overall assessment of control effectiveness :** | **2** |

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| 1.3 | **Activity:** To deliver a range of quality programmes and services that successfully meets the needs of all customers and stakeholders within the Heath, Social and Childcare sector in a flexible, responsive and innovative way  **Activity Risk**: Lack of teaching staff with relevant and up-to -date qualifications | | **Owner:** | **C:5** | **L:1** |
| **Control(s)** | | | **Resp** | **RAG Status of Control** | |
| **Ref.** | |  |  |  | |
| 1.3.1 | | The School draws upon the services of the HR unit; HR policies are administered ensuring recruitment is fair and promotes the appointment of suitably qualified staff | HR Unit  HOS |  | |
| 1.3.2 | | All staff encouraged to participate in self development | Staff Development Officer  HOS |  | |
| 1.3.3 | | Staff to be mentored over a period of time identified through College staff appraisal system | HOS HR Unit |  | |

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| **Missing / Insufficient Controls** | | | | |
| **Ref.** |  |  | **Resp** | **Target** |
| 1.3 | Timetabling difficulties this academic year and staffing changes have resulted in some lecturing staff not utilised enough to maximise their potential | Careful timetabling allowing opportunity to maximise the expertise within the teaching and assessing team | HOS  Team | May/June 2012 |

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| **Overall assessment of control effectiveness :** | **2** |

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| 1.4 | **Activity:** To deliver a range of quality programmes and services that successfully meets the needs of all customers and stakeholders within the Heath, Social and Childcare sector in a flexible, responsive and innovative way  **Activity Risk:** Non availability and inadequate specialist teaching rooms preventing programme delivery | | | **Owner:** | **C:5** | | **L:1** | |
| **Control(s)** | | | | **Resp** | **RAG Status of Control** | | | |
| **Ref.** | |  | |  |  | | | |
| **1.4.1** | | The HOS timetables classes to maximise opportunities for usage of appropriately resourced teaching rooms | | HOS |  | | | |
| **1.4.2** | | Specialist rooms are available to ensure curriculum requirements are met whenever possible i.e. suitable provision for art and craft | | HOS, CC |  | | | |
| **Missing / Insufficient Controls** | | | | | | | | | |
| **Ref.** | | **Required additional process** | **Implementation plan** | | | **Resp** | | **Target** | |
| **1.4** | | Lack of control of group size in relation to classroom space | Liaise with SMT to highlight the situation for the forthcoming Academic year | | | **HOS SMT Estates** | | **May/June 2012** | |
| **Overall assessment of control effectiveness :** | | | | | | | | **2** | | |

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| 1.5 | **Activity:** To deliver a range of quality programmes and services that successfully meets the needs of all customers and stakeholders within the Heath, Social and Childcare sector in a flexible, responsive and innovative way  **Activity Risk:** Withdrawal of HE franchise | | **Owner:** | **C:5** | **L:1** |
| **Control(s)** | | | **Resp** | **RAG Status of Control** | |
| **Ref.** | |  |  |  | |
| 1.5.1 | | The School offers a broad range of courses from level 2 through to level 5 in both Childcare and Care and are currently Awaiting Validation with a partner University for a secured HE provision for the next 3-5 years | HOS  HE Team |  | |
| 1.5.2 | | The School has a very good reputation with the partner Universities and the HE Centre is a well resources facility which is attractive to prospective students | HOS  HE Team  Marketing |  | |
| 1.5.3 | | Another partner University has expressed an interest in funding a large amount of places on a range of courses including Health Promotion, Vulnerable Adults, Substance misuse and Childhood Studies | HOS HE Team |  | |
| 1.5.4 | | The HE Course Directors are currently talking to a partner University about running MSc in both Care Studies and Childhood Studies | HOS Course Directors |  | |

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| **Missing / Insufficient Controls** | | | | |
| **Ref.** | **Required additional process** | **Implementation plan** | **Resp** | **Target** |
| 1.5 | Awaiting validation decision from one partner College | There are two partner Universities offering places for next academic year so the likelihood is good. HOS has based workloads on the minimum places being offered. | HOS DHOS, | June 2012 |

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| **Overall assessment of control effectiveness :** | **2** |

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| I am satisfied that, subject to the remedial actions noted above, the overall suite of controls is adequate to mitigate the risk | …………………………………………………………………………………………  Name, Job Title |

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| 1.6 | **Activity:** To deliver a range of quality programmes and services that successfully meets the needs of all customers and stakeholders within the Heath, Social and Childcare sector in a flexible, responsive and innovative way  **Activity Risk:** Reduction in financial support for students (eg EMA, LSF, ALG) | | **Owner:** | **C:5** | **L:1** |
| **Control(s)** | | | **Resp** | **RAG Status of Control** | |
| **Ref.** | |  |  |  | |
| 1.6.1 | | Continue to work with the Faculty Office to assist students ability to maximise funding sources to support their course | HOS Faculty Office staff |  | |
| 1.6.2 | | Senior management team informs HOS about WAG decisions regarding student funding | SMT HOS |  | |

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| **Missing / Insufficient Controls** | | | | |
| **Ref.** | **Required additional process** | **Implementation plan** | **Resp** | **Target** |

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| **Overall assessment of control effectiveness :** | **2** |

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| 1.7 | **Activity:** To deliver a range of quality programmes and services that successfully meets the needs of all customers and stakeholders within the Heath, Social and Childcare sector in a flexible, responsive and innovative way  **Activity Risk:** Not following a standardised and robust quality assurance process to ensure the quality of the end product for learners and requirements of Awarding Bodies and ESTYN | | **Owner:** | **C:5** | **L:1** |
| **Control(s)** | | | **Resp** | **RAG Status of Control** | |
| **Ref.** | |  |  |  | |
| 1.7.1 | | All staff attend regular training insets and Awarding Bodies updates | SL, HOS, CC |  | |
| 1.7.2 | | All staff actively engage in standardisation, internal verification and EV preparation as part of their teaching commitment | Team |  | |
| 1.7.3 | | Annual Self Assessment exercise ensures quality assurance is being upheld and ESTYN requirements are met | HOS, SL, CC Team |  | |
| 1.7.4 | | Lead Internal Verifier supports the quality process for care courses, while External scrutiny and postal sampling of assessed work ensures the same for Childcare courses | Team |  | |
| 1.7.5 | | The specifications are laid down by Awarding Bodies and the confirmation of the EV’s sampling exercise indicates that an appropriate standard of work has been achieved |  |  | |

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| **Missing / Insufficient Controls** | | | | |
| **Ref.** | **Required additional process** | **Implementation plan** | **Resp** | **Target** |
|  | Additional LIV required for Care courses because of the high numbers | HOS to speak to Director of Curriculum about further LIV training for this area | **HOS** | **June 2012** |

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| **Overall assessment of control effectiveness :** | **2** |

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| 2.1 | **Activity:** To ensure effective and efficient use of resources and maximise income from DCELLs funding, commercially contracted income and develop cost recovery programmes  **Activity Risk:** Insufficient use of accommodation and staff resources | | **Owner:** | **C:5** | **L:1** |
| **Control(s)** | | | **Resp** | **RAG Status of Control** | |
| **Ref.** | |  |  |  | |
| 2.1.1 | | HOS works closely with the HR team to maximise efficiency within the staffing budget | SL, HOS, CC |  | |
| 2.1.2 | | Resources are discussed with the staff in team meetings to ensure all the team manage consumables in a cost effective manner | Team |  | |
| 2.1.3 | | Banded contracts are used to ensure that cuts in the Capital investment will not adversely affective Human resources | HOS, SL, CC Team |  | |
| 2.1.4 | | HOS works closely with the Head of Finance to ensure resources are managed effectively and efficiently | Team |  | |
| 2.1.5 | | The School follows the established College policy which clearly outlines procedures to follow relating to staff attendance and absence |  |  | |
| 2.1.6 | | The HOS timetables classes to maximise opportunities for usage of appropriately resources teaching rooms. |  |  | |

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| **Missing / Insufficient Controls** | | | | |
| **Ref.** | **Required additional process** | **Implementation plan** | **Resp** | **Target** |
| **2.1.1.1** | Some capital costs cannot be predicted particularly concerning long term sickness cover | Explore contingency planning in next years budget | HOS Head of Finance | **May 2012** |
| **Overall assessment of control effectiveness :** | | | | **2** | |

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| 2.2 | **Activity:** To ensure effective and efficient use of resources and maximise income from DCELLs funding, commercially contracted income and develop cost recovery programmes  **Activity Risk:** Not marketing full cost recovery courses to reach full potential audience reducing commercial income opportunities | | **Owner:** | **C:5** | **L:1** |
| **Control(s)** | | | **Resp** | **RAG Status of Control** | |
| **Ref.** | |  |  |  | |
| 2.2.1 | | Cost recovery courses have now been added to the part time prospectus and listed within the Community training programme for the next academic year | HOS, Marketing |  | |
| 2.2.2 | | Marketing department support the school with advertising of income generating programmes | HOS, Marketing |  | |

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| **Missing / Insufficient Controls** | | | | |
| **Ref.** | **Required additional process** | **Implementation plan** | **Resp** | **Target** |
| **2.2.1.2** | Income generation is not a strong feature within the school | Investigate opportunities to generate income through short courses | HOS Team | **Sept 2012** |
| **Overall assessment of control effectiveness :** | | | | **2** | |

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| I am satisfied that, subject to the remedial actions noted above, the overall suite of controls is adequate to mitigate the risk | …………………………………………………………………………………………  Name, Job Title |

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| 2.3 | **Activity:** To ensure effective and efficient use of resources and maximise income from DCELLs funding, commercially contracted income and develop cost recovery programmes  **Activity Risk:** Not maximising CEU’s for programme | | **Owner:** | **C:5** | **L:1** |
| **Control(s)** | | | **Resp** | **RAG Status of Control** | |
| **Ref.** | |  |  |  | |
| 2.3.1 | | HOS works closely with MIS and Director of Curriculum to ensure maximum funding is achieved | HOS MIS |  | |

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| **Missing / Insufficient Controls** | | | | |
| **Ref.** | **Required additional process** | **Implementation plan** | **Resp** | **Target** |
| **Overall assessment of control effectiveness :** | | | | **2** | |

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| 2.4 | **Activity:** To ensure effective and efficient use of resources and maximise income from DCELLs funding, commercially contracted income and develop cost recovery programmes  **Activity Risk:** Insufficient Capital Investment Budget | | **Owner:** | **C:5** | **L:1** |
| **Control(s)** | | | **Resp** | **RAG Status of Control** | |
| **Ref.** | |  |  |  | |
| 2.4.1 | | Resources are discussed with the team in staff meetings to ensure all the team manage consumables in a cost effective manner | HOS MIS |  | |
| 2.4.2 | | HOS works closely with the Finance Manager to ensure resources are managed effectively and efficiently | HOS Finance Manager |  | |

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| **Missing / Insufficient Controls** | | | | |
| **Ref.** | **Required additional process** | **Implementation plan** | **Resp** | **Target** |
| **Overall assessment of control effectiveness :** | | | | **2** | |

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| I am satisfied that, subject to the remedial actions noted above, the overall suite of controls is adequate to mitigate the risk | …………………………………………………………………………………………  Name, Job Title |

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| 3.1 | **Activity:** Provide a learning environment that ensures the health, safety and welfare of learners and staff.  **Activity Risk:** Health and Safety risk assessments not reviewed regularly for accommodation and equipment | | **Owner:** | **C:5** | **L:1** |
| Control(s) | | | **Resp** | **RAG Status of Control** | |
| Ref. | |  |  |  | |
| 3.1.1 | | Risk Assessments are carried out by staff and checked by HOS and College Health and Safety Officer for any trips or visits | HOS H&S Officer, Team |  | |
| 3.1.2 | | All staff understand their role under the H&S at Work Act 1974 to report hazards to Estates Department | Team |  | |

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| **Missing / Insufficient Controls** | | | | |
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| **Overall assessment of control effectiveness :** | | | | **2** | |

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| I am satisfied that, subject to the remedial actions noted above, the overall suite of controls is adequate to mitigate the risk | …………………………………………………………………………………………  Name, Job Title |

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| 3.2 | **Activity:** Provide a learning environment that ensures the health, safety and welfare of learners and staff.  **Activity Risk:** Staff and students not complying with College policies relating to safety and wellbeing | | | **Owner:** | **C:5** | | **L:1** | |
| Control(s) | | | | **Resp** | **RAG Status of Control** | | | |
| Ref. | |  | |  |  | | | |
| 3.2.1 | | The School of Health, Social and Childcare’s Health and Safety Policy identifies the operation and how it complies with current Health and Safety Laws and practice | | Team |  | | | |
| 3.2.2 | | A core element to the Curriculum and the very nature of the School’s business is to promote and maintain a healthy, safe and secure environment. Both the theoretical and practical elements of this subject is embedded in the curriculum and practice | | Team |  | | | |
| **Missing / Insufficient Controls** | | | | | | | | | |
| **Ref.** | | **Required additional process** | **Implementation plan** | | | **Resp** | | **Target** | |
| **Overall assessment of control effectiveness :** | | | | | | | | **2** | | |

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| 3.3 | **Activity:** Provide a learning environment that ensures the health, safety and welfare of learners and staff.  **Activity Risk:** Failing to utilising the College wide services available to ensure students wellbeing and safety | | | **Owner:** | **C:5** | | **L:1** | |
| Control(s) | | | | **Resp** | **RAG Status of Control** | | | |
| Ref. | |  | |  |  | | | |
| 3.3.1 | | All tutors fully utilise the College wide services and provisions for dealing with students wellbeing and safety | | Team |  | | | |
| 3.3.2 | | ENGAGE team support the school and have been involved in whole school meetings to inform the team of the service they provide | | Team |  | | | |
| **Missing / Insufficient Controls** | | | | | | | | | |
| **Ref.** | | **Required additional process** | **Implementation plan** | | | **Resp** | | **Target** | |
| **Overall assessment of control effectiveness :** | | | | | | | | **2** | | |

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| 4.1 | **Activity:** Provide meaningful and relevant work experience opportunities that enhance the student experience.  **Activity Risk:** Lack of suitable placements within the Health Social and Childcare sector | | | **Owner:** | **C:5** | | **L:1** | |
| Control(s) | | | | **Resp** | **RAG Status of Control** | | | |
| Ref. | |  | |  |  | | | |
| 4.1.1 | | The School works closely with outside agencies i.e. Childcare Partnership, Health and Social Care Network, to build partnerships and maintain the excellent relationship it already has with schools are care settings | | HOS Team |  | | | |
| **Missing / Insufficient Controls** | | | | | | | | | |
| **Ref.** | | **Required additional process** | **Implementation plan** | | | **Resp** | | **Target** | |
| **4.1.1.1** | | Increasing interest in Health and Social Care and Childcare courses could result in a lack of suitable work placements for the number of students | Explore work placements further afield in order to meet the needs of the courses | | | **HOS WP Assessors** | | **Sept 2012** | |
| **Overall assessment of control effectiveness :** | | | | | | | | **2** | | |

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| 4.2 | **Activity:** Provide meaningful and relevant work experience opportunities that enhance the student experience.  **Activity Risk:** Delay in the CRB Checks coming back in which could prevent the adequate number of work placement hours being met | | | **Owner:** | **C:5** | | **L:1** | |
| Control(s) | | | | **Resp** | **RAG Status of Control** | | | |
| Ref. | |  | |  |  | | | |
| 4.2.1 | | HOS and DHOS are looking at a system to speed up the CRB process for next academic year. Faculty office will assist in the organisation and implementation of this | | HOS,DHOS, Faculty office staff |  | | | |
| **Missing / Insufficient Controls** | | | | | | | | | |
| **Ref.** | | **Required additional process** | **Implementation plan** | | | **Resp** | | **Target** | |
| **Overall assessment of control effectiveness :** | | | | | | | | **2** | | |

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| 4.3 | **Activity:** Provide meaningful and relevant work experience opportunities that enhance the student experience.  **Activity Risk:** Breakdown of partnership between the College and the Sector | | | **Owner:** | **C:5** | | **L:1** | |
| Control(s) | | | | **Resp** | **RAG Status of Control** | | | |
| Ref. | |  | |  |  | | | |
| 4.3.1 | | Pathways Training provide a thorough assessment of work placements prior to students attending. Regular monitoring of these are carried out by Work Placement Supervisors to ensure the College provides a professional service at all times | | HOS,DHOS, Faculty office staff |  | | | |
| 4.3.2 | | Issues relating to student behaviour and professionalism while in the workplace are dealt with immediately and in partnership with schools and care settings | | CC, HOS, WP Assessors |  | | | |
| 4.3.3 | | A rigorous induction programme prepares learners for work placement and covers protocols, health and safety, personal issues, social responsibilities and etiquette | | CC |  | | | |
| **Missing / Insufficient Controls** | | | | | | | | | |
| **Ref.** | | **Required additional process** | **Implementation plan** | | | **Resp** | | **Target** | |
| **Overall assessment of control effectiveness :** | | | | | | | | **2** | | |

|  |  |
| --- | --- |
| I am satisfied that, subject to the remedial actions noted above, the overall suite of controls is adequate to mitigate the risk | …………………………………………………………………………………………  Name, Job Title |