



CCEA CORPORATE RISK REGISTER

APRIL 2011

SUMMARY					
Reference	Overarching Risk Description	Impact	Likelihood	Score	Residual Risk
	CORPORATE				
CR1	Failure to ensure systems are in place to provide quality services and products in Qualifications, Regulation and Curriculum and Assessment	5	3	15	
CR2	Failure to deliver on targets agreed with DE within budget	5	2	10	
CR3	Failure to retain internal and external stakeholder confidence in CCEA's core business of Qualifications, Regulation, Curriculum and Assessment	3	3	9	
CR4	Failure to effectively manage the impact of CCEA's Voluntary Severance Programme associated with the budget 2010 cost reduction programme.	4	2	8	
	SERVICES & PRODUCTS				
	Curriculum & Assessment				
SPA1	Failure to deliver aspects of the costed work programme (CWP) for curriculum and assessment	4	2	8	
SPA2	Failure to deliver current statutory computer-based assessments (InCAS) in 2011	3	3	9	
SPA2	Failure to secure a suitable computer-based assessment tool for use from September 2012	4	3	12	
	Qualifications				
SPQ1	Failure to ensure that appropriate resources, systems and procedures are in place to ensure the accurate delivery of examinations.	5	3	15	
SPQ2	Failure to maintain and develop relevant portfolio of General and Vocational Qualifications.	5	2	10	
SPQ3	Failure to ensure appropriate resources, systems and procedures are in place to implement an effective modernisation programme.	4	3	12	
	FINANCE & SUPPORT				
FS1	Failure to maintain the business infrastructure required to support the deliverable outputs of the organisation.	4	3	12	
	GOVERNANCE & ACCOUNTABILITY				
GA1	Failure to ensure effective corporate governance and accountability arrangements including appropriate financial and fraud management and data security.	4	3	12	

Notes

1. The CCEA Corporate Risk Register has been written to fully reflect the eight risks identified in the Department of Educations Corporate Risk Register as of September 2010.
2. This register employs the same Risk Management Framework as the DE CRR.
3. The complexity of CCEA’s operations is reflected in the number of potential root causes and consequences of risks identified in the register.
4. **Inherent risk** exists before any management controls are applied. Enables decisions to be made about resources and priority given to managing each risk.
5. **Residual risk** is determined after management actions have been identified and an assessment made of how effective the actions are towards managing the risk.
6. The following Risk Assessment Matrix is used in this register:

Impact	Critical	5	5	10	15	20	25
	Major	4	4	8	12	16	20
	Significant	3	3	6	9	12	15
	Moderate	2	2	4	6	8	10
	Minor	1	1	2	3	4	5
			Unlikely (>10%)	Remote (11-30%)	Possible (31-59%)	Probable (60-84%)	Almost Certain (85%+)
		1	2	3	4	5	
Likelihood							

Low	Medium	High	Critical
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DE's Education Priorities

- Raising Standards for All
- Closing the Performance Gap, Increasing Access and Equity
- Developing the Education Workforce
- Improving the Learning Environment
- Transforming Education Management

DE's Corporate Risks

SUMMARY					
Reference	Risk Description	Impact	Likelihood	Score	Residual Risk
1	Failure to remain on target to raise educational standards and to reduce under achievement. (PSA Targets 10 and 19 are not achieved).	5	3	15	
2	Failure to achieve sufficient progress in the planned development, coherence and implementation of policies related to raising standards and tackling barriers to learning.	4	3	12	
3	Failure to converge education services appropriately to ensure effective, efficient and consistent application of policy and services and delivery of agreed efficiency savings.	5	3	15	
4	Failure to plan, develop and invest strategically in the estate consistent with education policies (PSA Target 16 is not achieved)	3	3	9	
5	Insufficient capacity and capability to deliver fully DE Business objectives.	4	3	12	
6	Potential unforeseen significant disruption to education provision and services.	5	3	15	
7	All applicants may not be placed in a post-primary school by September 2010	4	4	16	
8	Failure to exercise proper stewardship, and secure optimal use, of the resources allocated to the Education Service in line with requirements of all aspects of the public expenditure control framework.	5	2	10	

CCEA's CORPORATE RISKS

CCEA RISK CR1: Related to DE Risks 1, 2, 3, 5, 6, 8		Risk Evaluation				
Description:		Inherent		Residual		Residual Risk Score
Impact		Likelihood		Impact		
Failure to ensure systems are in place to provide quality services and products in Qualifications, Regulation and Curriculum and Assessment		Critical (5)	Almost Certain (5)	Critical (5)	Possible (3)	15
Consequence						
<ul style="list-style-type: none"> Potentially significant impact on the future of individual students. Failure to support the achievement of DE's objectives in raising standards and improving the learning environment. Loss of confidence by stakeholders in CCEA's products and services. 						
Lead Risk Owner	Date Reviewed	Comment:				
CEO (Gavin Boyd)	06/04/11	<p>This remains a significant risk to CCEA across all aspects of the business. Significant improvements in the control framework have been implemented and the work to increase the effectiveness of the assurance framework mechanisms through review of systems, processes and procedures is ongoing. The actions taken include development of revised guidance and training for staff in procedures, risks and controls; a series of system and procedure audits by BA to identify and address weaknesses, increased ICT competency for staff and improvements in the management of interfaces.</p> <p>The programme however is not yet complete so the risk remains a potential exposure to CCEA and requires close monitoring.</p>				
Potential Root Causes		Current Actions to Manage Risk			Responsible Official	
1. Failure to develop and implement an effective corporate strategy/business plan.		<ul style="list-style-type: none"> Annual costed business plan developed. Corporate Plan in development awaiting completion of DE plan to finalise. 			BM FIN DCS	
2. Failure to ensure that staff are well trained, mentored and supported.		<ul style="list-style-type: none"> CEO focus on TMT need to ensure that systems are fully operational and on role managers to take in this. 			CEO	

CCEA RISK CR2: Related to DE Risks 1, 2, 3, 5, 6, 8		Risk Evaluation				
Description:		Inherent Likelihood		Residual Likelihood		Residual Risk Score
Failure to deliver on targets agreed with DE within budget		Critical (5)	Possible (3)	Critical (5)	Remote (2)	10
Consequence						
<ul style="list-style-type: none"> Loss of confidence by DE, NI Assembly and the wider stakeholder group in CCEA. Failure to deliver services. Possible reduction in staff levels CCEA will not remain competitive in relation to other awarding bodies. 						
Lead Risk Owner	Date Reviewed	Comment:				
DCS (Martin Quinn)	22/03/11	<p>Impact of public sector cutbacks in FY11/12 not known. CCEA has prepared a costed operational plan but this has not yet been required by DE.</p> <p>Targets will be matched with available resources in the year ahead and if required priorities will be redefined to manage within resources in agreement with DE.</p>				
Potential Root Causes		Current Actions to Manage Risk			Responsible Official	
1. Failure to secure and manage the funding required delivering services.		<ul style="list-style-type: none"> Annual costed operational plan 10/11 implemented with approval from DE. Efficiency savings being identified and implemented. Capital plan for 10/11 approved and rolled out. Operational plan for 11/12 prepared. Business cases prepared for DE on key activities eg Modernisation 			DCS BM FIN/TMT BM FIN BM FIN/TMT BMs/TMT	

Contingency				
<ul style="list-style-type: none"> Remove/reduce spend on discretionary work package 				
Action Plan for Improvement			Action by Whom	Date

CCEA RISK CR3: Related to DE Risks 2, 3		Risk Evaluation				
Description: Failure to retain internal and external stakeholder confidence in CCEA's core business of Qualifications, Regulation, Curriculum and Assessment		<u>Inherent</u> Impact Likelihood		<u>Residual</u> Impact Likelihood		<u>Residual Risk Score</u> 9
		Major (4)	Probable (4)	Significant (3)	Possible (3)	
Consequence						
<ul style="list-style-type: none"> Failure to support the achievement of DE's objectives in raising standards and improving the learning environment. Potentially significant impact on the future of individual students. 						
Lead Risk Owner	Date Reviewed	Comment:				
CEO (Gavin Boyd)	06/04/11	<p>This risk is a subsidiary risk to CR1. Following the implementation of improvement measures as identified in CR1, this risk is being more effectively managed with more engagement with staff and increased assurances being provided to DE and customers.</p> <p>This risk requires close monitoring and management in light of the recent examination failures. Additional actions related to CR1 will also support more effective management of this risk.</p>				

Potential Root Causes		Current Actions to Manage Risk	Responsible Official
1. Failure to communicate effectively with internal and external stakeholders.		<ul style="list-style-type: none"> ▪ Ongoing communications with schools planned and progressed through all available means including QDS, EF, specification events (eg revised GCSE science specs), ongoing liaison with Invest NI, FE and sector skills councils. ▪ Open Communications Forum re-established for staff. ▪ Staff briefings by directorate by directors and to all staff through CEO video blog. ▪ Information sections of i-browse and website content. ▪ Delivery of training programmes to all staff. ▪ Ongoing primary, post-primary, special schools and stakeholder communication regarding training and support for revised CAR arrangements. ▪ Briefings for teachers/examiners through Chief/Chair Annual Conference and examination meetings ▪ Ongoing work with principal groups (ASCL) ▪ Visits to principals ▪ Twice-yearly briefings for qualifications directorate 	<p>DQ</p> <p>DCS/DES TMT</p> <p>All Managers DCS DES</p> <p>DQ DQ</p> <p>DQ DQ DQ</p>
2. In the event of errors being identified, failure to communicate effectively with stakeholders throughout the process.		<ul style="list-style-type: none"> ▪ Communications strategy and procedures ▪ Development of strong partnerships with customers and stakeholders, for example principal groups, sector skills councils and Invest NI ▪ Risk Response Plan 	<p>DCS DQ</p> <p>DCS</p>
3. Failure to work effectively with commercial and educational partners (e.g. loss of CoPE)		<ul style="list-style-type: none"> ▪ Engagement with CoPE providers to address CCEA's procurement needs. ▪ Development and implementation of endorsement policy ▪ Establishment of business development board 	<p>DCS</p> <p>DQ</p>
4. Failure to develop and implement an effective corporate strategy/business plan.		<ul style="list-style-type: none"> ▪ Annual costed business plan developed. ▪ Corporate Plan in development awaiting completion of DE plan to finalise. 	<p>BM FIN DCS</p>

5. Failure in CCEA's systems.	<ul style="list-style-type: none"> ▪ ISO 9001 system ▪ Modernisation programme ▪ Use of pilots and project management. ▪ ICT accreditation to ISO 20000, 27001, Tick It, FAST ▪ CCEA's Disaster Recovery Plans ▪ CCEA's Risk Response Plan ▪ Internal Audit programme ▪ Operations board oversight 	DCS DQ TMT DCS DCS DCS DCS DQ		
Contingency				
<ul style="list-style-type: none"> ▪ Commitment to ensuring the transparency of the organisation through internal and external communications and strong interface with media. ▪ CCEA have a risk response plan to address critical issues as they arise. 				
Action Plan for Improvement		Action by Whom	Date	Status
Ensure full TMT representation across each business area		CEO/Council/DE	December 10	Interim CEO in place and recruitment process for CFO to be reviewed in July 11.
Identify and develop mechanisms for wider involvement with special needs sector. Advisory group to be set up through education sub-committee		DQ/Ed committee	September 11	In progress. Ed Committee set up and first meeting held.

CCEA RISK CR4: Related to DE Risks		Risk Evaluation				
Description: Failure to effectively manage the impact of CCEA's Voluntary Severance Programme associated with the budget 2010 cost Reduction programme.		<u>Inherent</u> Impact Likelihood		<u>Residual</u> Impact Likelihood		<u>Residual Risk</u> <u>Score</u>
		(Major) 4	(Possible) 3	(Major) 4	(Remote) 2	8
Consequence						
CCEA will not be able to deliver the required outputs as a result of a significant reduction in staff numbers.						
Lead Risk Owner	Date Reviewed	Comment:				
CEO	18/04/11	Comprehensive details of risks and mitigation are contained in each of the business cases for Voluntary Severance submitted to DE in Feb/Mar 2011.				
Potential Root Causes		Current Actions to Manage Risk			Responsible Official	
1. Organisational ability to deliver statutory responsibilities		All current responsibilities to be covered by new management structure. The outputs of a dissolved post will be absorbed through rationalisation.			CEO	
2. Loss of BM associated with CEO office.		1 x BM post has been suppressed. Post dormant due to long term secondment outside of CCEA.			CEO	
3. Reduction in number of Business Managers in Qualifications Directorate.		Responsibilities of 2 x BMs will be rationalised within new management structure for Qualifications Directorate.			DQ	
4. Reduction in number of Programme Managers in Curriculum.		Responsibilities of 1 x PM will be redistributed amongst managers at same level.			DES	
5. Reduction in staff numbers in Corporate Services.		No change to management responsibilities in CS. Ordinary staff responsibilities will be rationalised.			DCS	
6. Reduction in overall corporate outputs.		CCEA will reduce some discretionary outputs i.e. marketing, event support, administrative support.			DCS	
7. Increase in individual workloads at senior management level.		Mitigated by greater delegation of functional responsibilities to junior managers.			CEO	
8. Governance and accountability responsibilities.		Will be maintained by transfer to the senior management team.			CEO	
9. Customer expectations not met.		CCEA will continue to manages all customer expectation through front line service delivery teams			DQ/DES	
Contingency						
<ul style="list-style-type: none"> Re-prioritisation all of all work plans by TMT/SMT 						

Action Plan for Improvement	Action by Whom	Date	Status

SERVICES AND PRODUCTS RISKS

CCEA RISK SPA1: Related to DE Risks 1, 2, 3, 5, 6, 8		Risk Evaluation				
Description:		<u>Inherent</u> Impact Likelihood		<u>Residual</u> Impact Likelihood		<u>Residual Risk</u> Score
Failure to deliver aspects of the costed work programme (CWP) for curriculum and assessment		Major (4)	Probable (4)	Major (4)	Remote (2)	8
Consequence						
<ul style="list-style-type: none"> • Failure of the system to meet targets set out in the PFG, Education PSAs and Education policies • Schools don't receive sufficient support to implement aspects of education policy • Loss of confidence in CCEA by stakeholders/sponsoring Department • Reputational damage to CCEA and DE 						
Lead Risk Owner	Date Reviewed	Comment:				
DES (Richard Hanna)	11/4/11	<p>Support for aspects of curriculum & assessment (in school improvement terms) is shared by other support services including CASS and C2K.</p> <p>A major implementation programme has commenced in relation to new assessment arrangements. In order to provide the face-to-face aspect of the preferred training model, additional capacity is required for delivery of specific training modules.</p> <p>In addition, CCEA also has a portfolio of curriculum projects which may exacerbate the issues and risks around staff capacity and shortages. CCEA will mitigate this risk by ongoing liaison with DE around work which will in turn help to manage the higher risk around staff capacity.</p>				
Potential Root Causes		Current Actions to Manage Risk			Responsible Official	
1. Increasing volume of work within costed work programme, including in-year requests for additional project work.		<ul style="list-style-type: none"> ▪ Re-prioritising work including easement/bidding as appropriate. ▪ Focus on agreed priorities and challenge external requests for additional in-year work, including from DE. 			DES	

2. Failure to retain key staff (due to potential non-extension of fixed term contracts, continuing job insecurity and staff subsequently returning to school or taking up permanent posts elsewhere).		<ul style="list-style-type: none"> ▪ Keep work plans and team capacity under constant review ensuring sufficient capacity is available to deliver plans on schedule (including contingency). ▪ Timely reviews of fixed term contracts and extension of fixed-term contracts as appropriate to ensure business continuity and increase in staff morale. 	DES DCS	
3. Failure to appoint replacement staff (due to ongoing vacancy control measures, restrictions on headcount and the short term nature of contracts on offer).		<ul style="list-style-type: none"> ▪ Timely provision of business cases for replacement staff (internal trawl and external recruitment) to ensure continuity of work. ▪ Re-allocation of officer responsibilities to ensure coverage of priority areas. ▪ Use, as appropriate, of short term (three month) contracts to support transition/pressure periods caused by staff leaving and to ensure delivery of key objectives to timescales. 	DES	
4. Failure to secure additional training staff (minimum 20) to support training programme for implementation of the new assessment arrangements.		<ul style="list-style-type: none"> ▪ Assessment costed work programme (2010/11 and 2010-15) submitted to DE, including outline of staffing needs for successful delivery of assessment programme to 2015. ▪ Members of CASS service now involved in delivery of training programme, linked to coherent plan. ▪ Use of professional associates as appropriate to support work, e.g. Key Stage 3 online training courses for teachers. 	DES	
5. Failure to secure a budget to support proposed work programme started in 2010.		<ul style="list-style-type: none"> ▪ CCEA outline plans for 11/12 developed. 	BM FIN	
Contingency				
<ul style="list-style-type: none"> • Redesign training programme to focus on production of support materials and provision of (non-interactive) online training courses only. • Keep portfolio of projects under review to identify priorities and rationalise work accordingly. 				
Action Plan for Improvement		Action by Whom	Date	Status
Identification of additional capacity to deliver specific training modules in relation to face-to-face aspects of the preferred training model.		DES	Nov 2010	Agreement from ELBs to provide additional support.
Review current staffing levels and structures to rationalise current provision, identify core business needs and identify contingency models.		BM CAR	Ongoing	Planned programme for 11/12 focuses on core business.

Clarify position re vacancy control, fixed term contracts and 'four year rule'.	PSE	Ongoing	Ongoing
Early appointment of moderator/reviser teams (similar to examination teams) composed of practising teachers to provide additional support in training phase.	BM CAR	June 2011	Dependent on acceptance of assessment advice.

CCEA RISK SPA2: Related to DE Risks 1, 2, 6, 8		Risk Evaluation				
Description:		Inherent		Residual		Residual Risk Score
		Impact	Likelihood	Impact	Likelihood	
Failure to deliver current statutory computer-based assessments (InCAS) in 2011.		Critical (5)	Probable (4)	Significant (3)	Possible (3)	9
Consequence						
Failure to support the achievement of DE's learning objectives in raising standards and improving the learning environment.						
Lead Risk Owner	Date Reviewed	Comment:				
DES (Richard Hanna)	11/04/11	This risk is shared with C2k/WELB – (contract let by C2k/WELB).				
Potential Root Causes		Current Actions to Manage Risk				Responsible Official
1. Failure to secure a contracted assessment tool for the statutory computer-based assessment for Literacy and Numeracy for 2011.		<ul style="list-style-type: none"> ▪ Contract extended to 19 February 2012. ▪ Close partnership working with C2k resulted in a Services contract between WELB and CEM. ▪ Close support for schools/Helpdesk and managed engagement with CEM (provider of InCAS). 				DES
2. Failure to take account of trends observed in the 2010 series to ensure all InCAS assessments were appropriately standardised for 2011.		<ul style="list-style-type: none"> ▪ Regular monitoring and revision of the detailed implementation and development plan, including deadlines agreed with CEM. ▪ Testing of InCAS in advance of 2011 issue. ▪ Testing of InCAS in number of schools in September 2011 with appropriate data review prior to general feedback release. ▪ InCAS General Maths to be restandardised for 2011. 				DES
3. Failure to conduct rigorous quality assurance and testing of 2011 software to ensure full and sound functionality.		<ul style="list-style-type: none"> ▪ Regular monitoring of service delivery to agreed timescales and quality standards. ▪ Liaison with C2k. ▪ Small trial in March 2011 (i.r.o. Irish Medium amendments and the concern around 'missing assessment data') 				DES

4. Failure to secure adequate assurances and sign-off by University of Durham in advance of 2011 series.		<ul style="list-style-type: none"> ▪ Close liaison with University of Durham/CEM officials during testing process. ▪ CEM to provide reports/analysis of InCAS trends by end January 11. 	DES	
5. Failure to comply with the agreed overall delivery schedule for InCAS software.		<ul style="list-style-type: none"> ▪ Regular review of contract and delivery against contractual obligations. 	DES	
6. Failure to provide appropriate support to centres and students.		<ul style="list-style-type: none"> ▪ Regular monitoring of service delivery to agreed timescales and quality standards. 	DES	
Contingency				
<ul style="list-style-type: none"> • Further extension of licence agreement to January 2011. 				
Action Plan for Improvement		Action by Whom	Date	Status
Implementation of recommendations of InCAS Internal Audit review and DE Working Group.		BM CAR	Feb 11	Most recommendations actioned in renewal of InCAs contract. Other aspects included in development of specification for new tool(s).
Close working with University of CEM during this period of testing to ensure adequate sign-off and receipt of stewardship report by 1 June 2011.		BM CAR	1 June 2011	Ongoing

CCEA RISK SPA3: Related to DE Risks 1, 2, 6, 8		Risk Evaluation				
Description:		Inherent		Residual		Residual Risk Score
Failure to secure a suitable computer-based assessment tool for use from September 2012		Impact	Likelihood	Impact	Likelihood	
		Critical (5)	Probable (4)	Major (4)	Possible (3)	12
Consequence						
<ul style="list-style-type: none"> Failure to allow sufficient time for training and support for computer based assessment tool prior to introduction because of delays in beginning procurement. 						
Lead Risk Owner	Date Reviewed	Comment:				
DES (Richard Hanna)	11/04/11	There is a statutory requirement for computer-based assessment for years 4 to 7. The current InCAS contract only covers up to January 2012, with a 'new' tool required for 2012. Time required for procurement, development, trialling and training presents significant challenges re timescales to meet this deadline effectively.				
Potential Root Causes		Current Actions to Manage Risk				Responsible Official
1. Failure to secure a COPE services to lead the procurement process (approx. 9 months' duration).		<ul style="list-style-type: none"> CCEA secured CPD as CoPE March 2011. 				DES BM FIN
2. Failure to identify suitable computer based assessment tool in a timely manner to allow for rigorous software testing in schools		<ul style="list-style-type: none"> Procurement OBC approved by DE (Nov 2010). Draft Project Plans, timelines and risk/issue logs submitted to DE (Dec 2010-Mar 2011). CCEA secured the services of CPD to act as CoPE in March 2011. Gateway / RPA review process instigated Close monitoring & review of progress of project Regular review of above actions and progress. 				DES BM FIN DES DES
3. Failure to evaluate / trial to ensure tool will meet the legislative requirements.		<ul style="list-style-type: none"> Regular review of above actions and progress. 				DES
4. Failure to adequately train and support all schools in the use of the computer-based assessment tool.		<ul style="list-style-type: none"> Regular review of above actions and progress. 				DES
Contingency						
<ul style="list-style-type: none"> DE to reconsider legislative position of computer-based assessment. 						

Action Plan for Improvement	Action by Whom	Date	Status
Continued review of this risk with DE officials in light of tight timescale.	DES	Ongoing	Ongoing
Identification of alternative CoPEs outside ELBs	BM FIN	Dec 10 onwards	Complete

CCEA RISK SPQ1: Related to DE Risks 1, 2, 5, 6, 8		Risk Evaluation			
Description:	<u>Inherent</u>		<u>Residual</u>		<u>Residual Risk Score</u>
	Impact	Likelihood	Impact	Likelihood	
Failure to ensure that appropriate resources, systems and procedures are in place to ensure the accurate delivery of examinations.	Critical (5)	Almost Certain (5)	Critical (5)	Possible (3)	15
Consequence					
<ul style="list-style-type: none"> Potentially significant impact on the future of individual students. Failure to support the achievement of DE's objectives in raising standards and improving the learning environment. Errors in delivery of services. Loss of public confidence and reputation. 					
Lead Risk Owner	Date Reviewed	Comment:			
DQ (Anne-Marie Duffy)	04/04/11	This risk had materialised through three examination failures over 2010. The risk is being more effectively mitigated through the improvement actions and ongoing review of processes in this area. It continues to be a significant risk with the additional identification of weaknesses in the management of inter-unit interfaces. This aspect of the risk is being addressed through a working group, the operations board and by the development of SLAs. The risk is also related to the unitised GCSEs for 2011 summer exams. Further monitoring of the implementation of improvements is required to improve the quality management system and the internal controls.			
Potential Root Causes		Current Actions to Manage Risk			Responsible Official
1. Vacancy control and staff turnover has resulted in a lot of new/inexperienced staff in these areas.		<ul style="list-style-type: none"> Vacancy control risk assessments Staff training and mentoring/shadowing. Increased training and mentoring/shadowing for staff 			PSE mgrs BMs in QD BMs in QD/PSE
2. Ineffective management of change in terms of new processes and systems.		<ul style="list-style-type: none"> Project management implementation User testing Use of statistics and enhanced modelling in awarding The monitoring of activities by Operations and Modernisation Boards. Increased training and mentoring/shadowing for staff 			BMs in QD BMs in QD R&S/BM exams DQ BMs in QD/PSE

3. Reduced focus on ISO systems and controls.		<ul style="list-style-type: none"> ▪ Renewed focus on ISO procedures ▪ Increased focus on compliance with procedures ▪ New guidance and training in procedures, controls and risks ▪ Procedure and system audits. ▪ Clear identification of roles and responsibilities including those across interfaces. 	BA DQ/BA BA BA BA/BMs
4. Human error.		<ul style="list-style-type: none"> ▪ Controls and checks in ISO procedures ▪ Staff training. ▪ New guidance and training in procedures, controls and risks ▪ Procedure and system audits 	All Mgrs All Mgrs/PSE BA BA
5. Failures in inter-unit interfaces within CCEA.		<ul style="list-style-type: none"> ▪ ICT representation on Operations and Modernisation Boards and QMT meetings ▪ Development of SOUR training programme for exams staff ▪ Internal audit on ICT interfaces 	ICT Mgr ICT Mgr/PSE DCS
Contingency			
Additional checks and improved processes to be implemented.			
Action Plan for Improvement			
	Action by Whom	Date	Status
Implementation of coherent improvement action plan combining the DE and two OfQual reviews	DQ/BA	Sept 10 onwards	In progress
Implementation of planned SOUR training programme	DQ	Spring 11	Spec drawn up
Deployment of system reviews/audits across CCEA to ensure controls and procedures are effective	BA Mgr	Nov10-May 11	On target/ongoing: Of 32 Audits, 20 are complete and desktop reviews undertaken on remaining procedures.

CCEA RISK SPQ2: Related to DE Risks 1, 2, 5		Risk Evaluation			
Description:	<u>Inherent</u>		<u>Residual</u>		<u>Residual Risk Score</u>
	Impact	Likelihood	Impact	Likelihood	
Failure to maintain and develop relevant portfolio of General and Vocational Qualifications.	Critical (5)	Unlikely (5)	Critical (5)	Remote (2)	10
Consequence					
<ul style="list-style-type: none"> Qualifications that are not fit for purpose. Failure to support the achievement of DE's objectives in relation to raising standards and implementation of the entitlement framework. Failure to adequately support the social and economic needs of NI. Loss of market share. 					
Lead Risk Owner	Date Reviewed	Comment:			
DQ (Anne-Marie Duffy)	04/04/11	This risk is being managed to acceptable levels. There is the potential for increased levels of risk in relation to the development of qualifications suitable for the new Entitlement Framework.			
Potential Root Causes		Current Actions to Manage Risk			Responsible Official
1. Failure to consult with key stakeholders in the development of qualifications particularly in relation to the new entitlement framework.		<ul style="list-style-type: none"> Development of plans for formal and informal communications with customers and stakeholders to evaluate product and support materials. Development of plans to engage with centres not currently taking CCEA qualifications. Mapping CCEA's vocational portfolio against industry/trade sector needs. 4 staff allocated to EF Development of system of annual feedback 1 year into specification for GCEs. Establish a co-ordinated communication and marketing strategy for EF through EF publication. Visits to principals and liaison with principal group 			BM Exams BM Exams BMs Exams and ACETS DQ Exams BM Marcomms DQ
2. Failure to effectively manage potential changes resulting from new political direction regarding qualifications.		<ul style="list-style-type: none"> Consultation through Regulator/OfQual. Co-ordinated approach to EF to provide more integrated approach through EF Steering Group. 			DQ BMs Exams and ACETS

3. Lack of appropriate knowledge/Skills among staff.		<ul style="list-style-type: none"> Review of Business Unit needs Effective use of funding available from DE resources to develop the area of EF through secured funding from DE for 4 staff Engagement with Edexcel staff in providing guidance on BTEC firsts and nationals. 	DQ BMs Exams and ACETS Exams Mgr	
4. Failure to work effectively on a three country level.		<ul style="list-style-type: none"> Engagement with other awarding bodies through JCQ and OfQual. 	DQ	
5. Failure to provide appropriate support to centres and students.		<ul style="list-style-type: none"> Development of plans for formal and informal communications with customers and stakeholders to evaluate product and support materials. Development of plans to engage with centres not currently taking CCEA qualifications Review support annually to ensure it is innovative and comparable with competitors. Annual review of market share by subject and through Business Development Board 	BM Exams BM Exams BM Exams BM Exams/ Marcomms	
Contingency				
Consider the option of entering partnership with another provider.				
Action Plan for Improvement		Action by Whom	Date	Status
Formalised corporate input in setting annual support targets.		Marcomms	Sept 10 onwards	Ongoing
Development of system of annual feedback 1 year into specification for GCSEs.		BMs Exams and ACETS	Sept 11 onwards	In progress
Develop communication strategy re CCEA's portfolio with centres in advance of 2012		BM Exams/ Marcomms	Oct 10 onwards	Ongoing
Establish a co-ordinated communication and marketing strategy for EF		Marcomms Mgr	Oct 10 onwards	In progress
Develop a programme with Invest NI to share platform at all EF events		BMs Exams and ACETS	Launch 2012	In progress
Develop and implement specific marketing plans for languages, Maths, LLW and RS		Programme Manager Business Development	Oct 10 onwards	In progress

CCEA RISK SPQ3: Related to DE Risks 2, 5, 6, 8		Risk Evaluation			
Description:	<u>Inherent</u>		<u>Residual</u>		<u>Residual Risk Score</u>
	Impact	Likelihood	Impact	Likelihood	
Failure to secure appropriate resources, systems and procedures to implement an effective modernisation programme.	Critical (5)	Probable (4)	Major (4)	Possible (3)	12
Consequence					
<ul style="list-style-type: none"> Failure to use data effectively in relation to DE's aim "every school a good school" Potential reputational damage to CCEA and qualifications arising from failures from new systems. Loss of public confidence. Significant lack of return on investment. Reduced efficiency. Loss of competitive edge 					
Lead Risk Owner	Date Reviewed	Comment:			
DQ (Anne-Marie Duffy)	04/04/11	This risk is effectively concerned with the management of change, good project management and the availability of resources to invest in new systems. Although CCEA have secured funding for modernisation projects, a major aspect of the strategy is unlikely to proceed as planned as it additional ICT staff to upgrade the i-series in advance of new business processes but as a result of vacancy control, CCEA has not been able to recruit these staff.			
Potential Root Causes		Current Actions to Manage Risk			Responsible Official
1. Failure to design and implement appropriate testing within agreed timescales.		<ul style="list-style-type: none"> Operations and Modernisation Boards include representatives from all relevant units to address issues. ICT SOUR and Testing processes in place. ICT competency of exams staff increased through training programme. 			DQ BM ICT ICT/PSE
2. Inadequate project management.		<ul style="list-style-type: none"> Project plans developed and implemented Project board/teams set up 			Programme Mgrs
3. Lack of funding/resources (including appropriate staff).		<ul style="list-style-type: none"> Funding for modernisation secured on an annual basis 			DQ/BM FIN
4. Lack of training/guidance for stakeholders.		<ul style="list-style-type: none"> Training undertaken Continue to promote on-line results and/or develop item capture by other means. On-line results for 2011 now extended to all AS and A2 subjects. Templates for project management reviewed to ensure they are fit for purpose 			BM Exams BMs Exams and EAA DQ

5. Failure in the partner/supply chain.		<ul style="list-style-type: none"> ▪ System compatibility review undertaken with suppliers 	Programme Mgr
6. Failure to develop and deliver modernisation projects.		<ul style="list-style-type: none"> ▪ Prepare OBC for strategic development of AS400 i-series for project to start April 2011 ▪ Mapping of CCEA's processes to identify modernisation potential. ▪ Benchmarking with SQA and Edexcel re business process reengineering. ▪ On-screen marking and e-moderation in place 	BM ICT MM and Exams Mgrs ACETS and Exams Mgrs Exams Mgr
Contingency			
Parallel system in place for first 1-2 years as contingency.			
Action Plan for Improvement		Action by Whom	Date
Roadmap for modernisation to be provided to TMT for approval. Priorities will be identified from this and a modernisation programme and individual projects established.		DQ	April 11

FINANCE AND SUPPORT

CCEA RISK FS1: Related to DE Risks 1, 2, 3, 5, 6, 8		Risk Evaluation				
Description:	Impact	<u>Inherent Likelihood</u>		<u>Residual Likelihood</u>		<u>Residual Risk Score</u>
		Critical (5)	Probable (4)	Major (4)	Possible (3)	
Failure to maintain the business infrastructure required to support the deliverable outputs of the organisation.						12
Consequence						
<ul style="list-style-type: none"> • Failure to deliver services. • Loss of confidence by DE, NI Assembly and the wider stakeholder group in CCEA. • Potential legal challenges from staff/suppliers. • CCEA will not remain competitive in relation to other awarding bodies. 						
Lead Risk Owner	Date Reviewed	Comment:				
DCS (Martin Quinn)	22/-3/11	<p>CCEA continues to face significant risks in this area from the absence of a CFO and a full-time permanent CEO and the absence of a corporate plan. CCEA also faces risks related to its physical security both in general terms (potentially through disruption to access to the building and/or script library) and in relation to ensuring the security of confidential areas. To address this last point, Business Assurance has undertaken a report and recommendations around improved procedures and training. Consideration on how to most effectively manage the first risk is being considered by TMT and includes the possibility of processing scripts at the first stage of the exams process at Mallusk.</p> <p>All the awarding bodies are currently engaged in a programme of work A2C which is aimed at streamlining examination processes and the implementation of an EDI replacement. CCEA is engaged in the working group but elements of this programme require investment and so CCEA has not signed up to the whole programme until approval has been obtained from DE for this. As CCEA is not yet fully committed to the project, it has no ability to influence the development or outcomes of the project. It may also put CCEA at a disadvantage in terms of modernisation and synchronisation with other awarding bodies and which may also impact on its market share. A business case has been prepared for DE in relation to this work.</p>				

Potential Root Causes		Current Actions to Manage Risk	Responsible Official
1. Failure to develop and implement corporate and operational plans.		<ul style="list-style-type: none"> ▪ Annual costed operational plan developed. ▪ Corporate plan in development but awaiting DE strategic plan to allow completion. 	DCS/BM FIN
2. Failure to secure full CoPE services.		<ul style="list-style-type: none"> ▪ An agreement with BELB and CPD for some CoPE services in 2011. 	BM FIN
3. Failure in the partner/supply chain due to economic climate or procurement issues.		<ul style="list-style-type: none"> ▪ Critical supplier risk assessment and contingency planned within context of economic climate. ▪ Proactive approach to identifying key contracts requiring renewal in advance. ▪ Engagement with EDI replacement working group 	BM FIN BM FIN ICT and EAA Mgrs
4. CFO vacancy.		<ul style="list-style-type: none"> ▪ Financial Controller acting as Business Manager providing advice to TMT. ▪ Business case for CFO post completed and approved. 	BM FIN TMT
4. Failure to ensure full representation of TMT across all business areas.		<ul style="list-style-type: none"> ▪ BM FIN position temporarily filled. ▪ Business case for CFO completed ▪ Interim CEO in place. ▪ Ensure senior management coverage across all business units. 	TMT TMT DE DCS
5. Legal challenge and potential action by staff affected by non-payment of PRP.		<ul style="list-style-type: none"> ▪ Ongoing liaison with DE on this issue 	TMT/Council
Contingency			
		<ul style="list-style-type: none"> • Risk Response and disaster recovery plans in place. • Exceptional external contract arrangements. 	
Action Plan for Improvement			
	Action by Whom	Date	Status
Obtain services of a new/alternative CoPE for all CCEA's needs	DCS/BM FIN	Jan 11	Significant progress made but not yet complete.
Complete recruitment process for CFO	PSE	Mar 11	To be reviewed in July 11
Business Case to be submitted to DE re EDI replacement for A2C project	DCS	June 11	In progress

GOVERNANCE AND ACCOUNTABILITY

CCEA RISK GA1: Related to DE Risks 3, 5, 6, 8		Risk Evaluation				
Description:		Inherent Likelihood		Residual Likelihood		Residual Risk Score
Failure to ensure effective corporate governance and accountability arrangements including appropriate financial and fraud management and data security.		Impact	Likelihood	Impact	Likelihood	12
		Major (4)	Probable (4)	Major (4)	Possible (3)	
Consequence						
<ul style="list-style-type: none"> CCEA cannot deliver services effectively. Loss of confidence by DE, NI Assembly and the wider stakeholder group in CCEA. Potential legal challenges as a result of corporate governance failures. 						
Lead Risk Owner	Date Reviewed	Comment:				
CEO (Gavin Boyd)	06/04/11	Although actions to provide assurance around corporate governance have been taken within the reporting period, a number of circumstances have increased the need to ensure this risk is closely monitored. The current constitution of the Council in terms of reduced numbers and the current circumstances of where there is an acting chairperson have led to gaps in the Council. The Council plays a vital role in the effective corporate governance of the organization and while these gaps remain a significant risk continues.				
Potential Root Causes		Current Actions to Manage Risk			Responsible Official	
1. Failure to identify, understand and implement all directives issued by DE, DFP and other responsible agencies.		<ul style="list-style-type: none"> New procedure and protocols for DE/DFP communications developed. 			DCS	
2. Failure to exercise appropriate procurement policies and processes.		<ul style="list-style-type: none"> Enhanced controls around procurement and governance. 			BM FIN	
3. Inappropriate decision making by Council/TMT in the context of knowledge/skills/experience.		<ul style="list-style-type: none"> Council members' attendance at DE workshops on Governance. Implementation of actions identified in Corporate Governance and Directors' Pay reviews. 			Council DCS/Council Chair	

4. A breach of regulation by Council/TMT		<ul style="list-style-type: none"> ▪ Training provided to Council and TMT on Corporate Governance by DE. ▪ Corporate Governance guidance and directives provided to Council and TMT through Internal Audit and CCEA's protocols. ▪ Implementation of action plan from the Internal Audit review of Corporate Governance. 	DCS/DE CEO/BA DCS	
5. Failure to act in accordance with CCEA's Management Statement and Financial Memorandum.		<ul style="list-style-type: none"> ▪ Training provided to Council and TMT on Corporate Governance by DE. ▪ Corporate Governance guidance and directives provided to Council and TMT through Internal Audit and CCEA's protocols. ▪ Implementation of action plan from the Internal Audit review of Corporate Governance. 	DCS/DE DCS DCS	
6. Failure to ensure good corporate governance.		<ul style="list-style-type: none"> ▪ Internal Audit review of Corporate Governance improvement action plan. ▪ Enhanced governance protocols including those in area of procurement. ▪ Business case framework. ▪ Governance training provided for TMT, SMT and Council. ▪ Enhanced guidance for staff issued and developed. ▪ Revised ToRs for Council and Committees. 	DCS/Chair of Council TMT/BM FIN TMT/BM FIN DCS DCS DCS	
Contingency				
<ul style="list-style-type: none"> • Implementation of clear reporting lines to DE/NIAO. • Delivery of the Internal Audit Programme. 				
Action Plan for Improvement		Action by Whom	Date	Status
Finalise CCEA Corporate Plan.		DCS	Draft plan prepared April 10	Dependant on DE