

F05 Sub Group Risk Log									
Risk ID	Description	Impact	Mitigation	Risk Category	High/Med/Low Impact	Action Required	Date Action Required by	Owner	Open / Closed
R1	Providers unaware of earlier F05 close for 2009/10	Miss deadline and fail to send F05	Letter sent to all providers at end of July 2009	Low	High if any providers do this	Follow up letter & other comms	By end of June 2010	IA	open
R2	Problems arising with particular qualifications from specific awarding organisations	Not all outcome data available. Incomplete F05	Letter sent to all AOs at end of July 2009	Unknown	High	Follow up letter (ask AOs to notify IA of any known issues). Group suggested letter should come jointly from all organisations affected not just IA	By end of June 2010	IA	open
R3	Providers do not schedule external verification visits in time to meet deadline	Not all outcome data available. Incomplete F05	Letter sent to all providers at end of July 2009	Medium	High for providers concerned	Follow up letter & other comms	By end of June 2010	IA	open
R4	Awarding organisations do not supply outcomes to providers in time to meet deadline (because of organisational or systems changes)	Not all outcome data available. Incomplete F05	Letter sent to all AOs at end of July 2009	Low	High	Follow up letter (ask AOs to notify IA of any known issues)	By end of June 2011	IA	open
R5	Complexity and time required to process and accredit large volumes of unutilised qualifications may cause providers which have alot of this type of delivery to struggle to meet F05 deadline. This is likely to increase in future years with uptake of the QCF.	Not all outcome data available. Incomplete F05. Likely to impact significantly on providers with large volumes of QCF/unitised quals	tbd	Unknown	Medium	Analysis to identify number of providers which deliver large volumes of QCF quals to help assess scale of issue	By end of June 2010	Stuart Vickers	open
R6	Number of other additional data returns that need to be made during autumn term, particularly for providers and local authorities which deliver across all funding streams. Increased pressure on staff may lead to quality issues and increased data errors.	Incomplete or inaccurate F05 return made. May see increase in data errors and subsequent queries/requests to resend F05	none - IA board took this into consideration when deciding F05 date	Medium	Medium	none			open
R7	Additional ad hoc data requests from local authorities or funding agencies taking up time and diverting resources away from F05 in an already busy period.	Incomplete or inaccurate F05 return made. Less time available for quality checking. May see increase in data errors and subsequent queries/requests to resend F05	Work with funding agencies / LAs to try to minimise ad hoc requests and to communicate pressures on providers	High	Medium	tbc	ongoing over summer	IA	open
R8	Change to the ILR Specification for 09/10 prior to F05 to request additional data	Providers unable to meet new requirements and cannot send F05	none - data requirements very unlikely to change in any way	Low	High	none			open
R9	Systems or performance issues in DC systems meaning that not all files could be successfully sent	Providers unable to send F05	Any DC systems failure would be likely to mean that return date was extended briefly - no action reqd	Low	High	Contact Data Service to ensure that there are no issues from them	Nov-10	IA	open
R10	Provider data queries not answered quickly enough to allow for data to be corrected. In particular coding queries and QSR queries.	Incomplete or inaccurate F05 return made. Likely to result in a request to resend F05	Governance process to be agreed and put in place by IA, Data Service and funding agencies as to how queries should be handled	High	High	Data Service to prioritise F05 queries during Oct/Nov. IA to agree SLA for these with service desk	By end of August 2010	IA & Other agencies	open
R11	QSR methodology not available in time for providers to test data and correct errors	Inaccurate F05 return made. Less time available for quality checking. May see increase in data errors and subsequent queries/requests to resend F05	QSR methodology publication planned for July 2010. This should give providers plenty of time to resolve any issues with F05 data	Low	Medium	none			open
R12	No standard timetables in use by awarding organisations. Each operate to different standards. IA board has no jurisdiction over AOs		none - IA board took this into consideration when deciding F05 date			none	June 2010?		open
R13	Certain AOs are known to be slow at sending out results	Providers do not have all outcome data available in time for F05	Specific AOs to be identified by group members and contacted individually. Liaise with Ofqual to notify them that concerns have been raised about a particular AO to see if they can help	Medium	Medium	Group members to send details of AOs that they feel have a record of poor performance. IA to investigate further and contact these AOs individually	By end of June 2010	IA	open
R14	Providers need to send certain qualifications back to AO for re-marking. Results not returned in time for F05. This can happen every year affecting a varying number of students. If it is only a question of changing grades then this has less of an impact as QSRs only differentiate between pass or fail.	Incomplete or inaccurate F05 return made for certain quals.	?	Low	Low				