UHI STRATEGIC RISK REGISTER TEMPLATE

Ref ID	Risk Status	Category	Risk Description
Shetland UHI/1			College does notachieve allocated HE student number targets.
Shetland UHI/2			College does not achieve allocated FE Credit targets.
Shetland UHI/3			The institution has a poor reputation.
Shetland UHI/4			Disruption toservices/projects and/or partnership working resulting from loss of a key staff member.
Shetland UHI/5			Non-compliance with relevant statutory regulations
Shetland UHI/6			Governance Failure
Shetland UHI/7			Financialfailure/operating loss. Inability toachieve a balancedbudget.
Shetland UHI/8			College estate not fit for purpose.
Shetland UHI/9			Academic quality issub standard
Shetland UHI/10			Poor Student Experience

Shetland UHI/11			Research outputs are sub standard
Shetland UHI/12			Institutional, personal and sensitive data iscorrupted, lost, stole nor misused or servicesare disrupted throughmalicious andillegalactivities by external individuals or bodies.
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Shetland UHI
Causes
Failure to recruit sufficient students due to various factors such as: over ambitious PPF target, poor marketing, curriculum gaps, poor NSS results etc.
Failure to recruit sufficient students due to various factors such as: over ambitious target, curriculum gaps, ineffective marketing and engagement with local schools/employers.
Significant or sustained adverse publicity, governance/management failure, negative comments on social media, poor academic results, poor performance in league tables, significant withdrawal rates.
Retirement, resignation or death in service of key staff member(s). Inadequate succession planning. Over-reliance on individuals. Associated knock on impacts resulting from transition arrangements with staff acting up and possible failure of backfill solutions.
Lack of awareness of relevant laws and penalties. Management failures. E.g.new General Data Protection Regulation from 25th May 2018, Bribery Act, Health and Safety Regulations etc.
Governing body does not have an appropriate balance of skills and experience. Role of a governor/director is onerous and it is difficult to attract a broad range of high calibre individuals to serve for non-remunerated roles
Increased pay costs (national bargaining), pensions and NI contributions. Efficiency savings are not achieved quickly enough to counteract reductions in income.
Lack of investment in capital maintenance/new capital project expenditure. Rapid growth of student population without investment in new expanded facilities.
Difficulty recruiting and retaining high calibre staff. Conditions and terms of employment are not competitive with limited scope for career progression. Infrastructure/estate is unsuitable or not fit for purpose
Poor college estate. Dispersed campus with limited facilities for social interaction. Technology failures. Limited teaching/library resources.

Failure to publish sufficient quality papers and upload to PURE. Loss of key staff. Lack of funding. Inadequate resources allocated to research staff. Terms and conditions of employment are not comparable with competitor organisations. Impact of Brexit on access to European projects.
Poor IT security measures. Equipment with security holes. Poor patching regime. Anti-virus is not up-to-date and comprehensive. Firewalls are configured incorrectly. Coordinated DDOS attack on universityinfrastructure. Increasing number of security alerts. DDOS attacks on UK academic institutions up to 527 in 2015 -Janet CSIRT. Increase in cyber attacks such as ransomware reported in national media.

TIMESCALE 3 Years

Impacts/Evidence	Owner	Likelihood
Reduction of college income from UHI, regional student number target at risk resulting in possible clawback to SFC from UHI in year or reduction in future years grant		
Reduction of college income from UHI, regional student number target at risk resulting in possible clawback to SFC from UHI in year or reduction in future years'grant.		
Inability to recruit students or attract and retain high calibre staff, inability to attract funding and/or develop strategic partnerships.		
Projects delayed due to loss of continuity, corporate knowledge gaps and disruption/loss of established relationships and contacts.		
GDPR will provide new rights for individuals and impose additional obligations on data controllers and processors. GDPR will also introduce an increased penalty framework for non-compliance/data breaches and includes new requirements for authorities to ensure that they maintain evidence to demonstrate compliance with the Law.		
Recent advertisements for new members have attracted few applications		
Increased pay costs (national bargaining), pensions and NI contributions. Efficiency savings are not achieved quickly enough to counteract reductions in income.		
Poor performance in NSS, increased number of complaints received, unable to meet new growth targets.		3-Possible
Poor performance in quality monitoring/assurance reviews. Loss of staff to competitor institutions. Poor attainment levels, high level of withdrawal and poor retention. Damage to reputation.		
Poor performance in national student satisfaction surveys. Reputational damage. Impact on ability to recruit future cohorts. Risk to core income streams.		

Damage to reputation. Brexit. Poor performance in next REF. Inability to retain staff and research teams. Reduced income.		
Information Commissioner fine of up to £500k. Adverse press coverage. Loss of confidence by regulators, stakeholders and HE sector. Ransomware encryption has been detected on UHI network.		

Impact	Gross Risk		Actions to minimise risk in place	Residual Likelihood	Residual Impact

		ACTION PLAN	Assign an action owner who is t	
Residual Risk		**Actions to minimise risk/To Do (1)**	**Action Owner (1)**	**Completion Date (1)**

the person responsible for completing the identified action and select a realistic completi

Actions to minimise risk/To Do (2)	Action Owner (2)	Completion Date (2)	Actions to minimise risk/To Do (3)

on target date		Please input information about planned future actions to re		
Action Owner (3)	**Completion Date (3)**	**Actions to minimise risk/To Do (4)**	**Action Owner (4)**	**Completion Date (4)**

duce the risk score

Actions to minimise risk/To Do (5)	Action Owner (5)	Completion Date (5)

LIKELIHOOD CRITERIA

Score
5-Almost Certain
4-Likely
3-Possible
2-Unlikely
1-Very Rare

TIMESCALE 3 YEARS

Descriptor	Probability
More than likely – the event is anticipated to occur	>80%
Fairly likely – the event will probably occur	61-80%
Possible – the event is expected to occur at some time	31-60%
Unlikely – the event could occur at some time	10-30%
Remote – the event may only occur in exceptional circumstances	<10%

IMPACT - CRITERIA

Score	Descriptor	Financial
5 -Catastrophic	A disaster with the potential to lead to: • loss of a major UHI partner • loss of major funding stream	> £500,000 or lead to likely loss of key partner
4-Major	A critical event which threatens to lead to: • major reduction in funding • major reduction in teaching/research capacity	£250,000 - £500,000 or lead to possible loss of partner
3-Significant	A Significant event, such as financial/ operational difficulty in a department or academic partner which requires additional management effort to resolve.	£50,000 - £250,000
2-Minor	An adverse event that can be accommodated with some management effort.	£10,000 - £50,000
1-Insignificant	An adverse event that can be accommodated through normal operating procedures.	<£10,000

Note: Select criteria most appropriate. Use highest score if more than one criterion applies.

TIMESCALE 3 YEARS

Operational	Reputational (need to link to communications process for incident management)
• Likely loss of key partner, curriculum area or department • Litigation in progress • Severe student dissatisfaction • Serious quality issues/high failure rates/major delivery problems	• Incident or event that could result in potentially long term damage to UHI's reputation. Strategy needed to manage the incident. • Adverse national media coverage • Credibility in marketplace and with stakeholders significantly undermined.
• Possible loss of partner and litigation threatened • Major deterioration in quality/pass rates/delivery • Student dissatisfaction	• Incident/event that could result in limited medium – short term damage to UHI's reputation at local/regional level. • Adverse local media coverage • Credibility in marketplace/with stakeholders is affected.
• General deterioration in quality/delivery but not persistent • Persistence of issue could lead to litigation • Students expressing concern	• An incident/event that could result in limited short term damage to UHI's reputation and limited to a local level. • Criticism in sector or local press • Credibility noted in sector only
• Some quality/delivery issues occurring regularly • Raised by students but not considered major	• Low media profile • Problem commented upon but credibility unaffected
• Quality/delivery issue considered one-off • Raised by students but action in hand	• No adverse publicity • Credibility unaffected and goes unnoticed

RISK MAP (for Gross risk & residual risk)

IMPACT		
5 - Catastrophic	5	10
4 - Major	4	8
3 - Significant	3	6
2 - Minor	2	4
1 - Insignificant	1	2
	1 -Very Rare	2 - Unlikely

Attention should also be paid to risks that are very rare or unlikely that could cause a

TIMESCALE 3 YEARS

15	20	25
12	16	20
9	12	15
6	8	10
3	4	5
3 - Possible	4 - Likely	5 - Almost Certain
LIKELIHOOD		

catastrophic impact.