

<b>Committee</b>	Board of Management		
<b>Date paper prepared</b>	09/08/2022	<b>Date of committee meeting</b>	24/08/2022
<b>Subject</b>	Risk Register		
<b>Author</b>	Jane Lewis, Principal with members of SMG		
<b>Action requested</b>	For information & review		
<b>Purpose of the paper</b>	To provide the Board with a summary of the risk register		
<b>Brief summary of the paper</b>	A summary of the risk register is provided. Individual risks are reviewed by appropriate sub-committees and SMG. This provides an overview for Board consideration.		
<b>Consultation</b>	SMG members and sub-committee provide review and updates on the risk register		

<b>Resource implications</b>	n/a
<b>Risk implications</b>	n/a
<b>Link with strategy</b>	Links to all parts of the college strategic plan
<b><u><a href="#">Equality, Diversity and Inclusion</a></u></b>	n/a

<b>Island Community Impact</b>	n/a
<b>Paper status</b>	<input checked="" type="checkbox"/> <b>Open</b> – The paper may be circulated to non-members of the committee and published online without restriction. <input type="checkbox"/> <b>Restricted</b> – The paper must not be circulated to non-members or published online until after the committee meeting. <input type="checkbox"/> <b>Confidential</b> - The paper must not be circulated beyond the committee members and should not be published online. [Please note papers may still be subject to Freedom of Information requests – see below].
<a href="#">Freedom of information</a>	Choose an item. If closed/ withheld, select date this will become 'open': Enter a date.

Risk Number & Name	Causes	Impacts	Residual Risk (Pre action)	Action Points	Residual Risk (Post action)	Owners
<p><i>Shetland UHI / 1</i></p> <p><b>College does not achieve allocated HE student number targets.</b></p>	<p>Failure to recruit sufficient students due to various factors such as: over ambitious PPF target, poor marketing, curriculum gaps, poor NSS results etc.</p>	<p>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</p>	<p>16</p>	<ul style="list-style-type: none"> <li>• Implement Celcat to get a better handle on staff capacity and utilise resources better.</li> <li>• Consider increased partnership work to allow for more varied course offer and to run courses where viability in Shetland does not allow course to run. Engage with UHI curriculum review. Widening our reach to attract students from outside of Shetland.</li> <li>• Review HE numbers and plans for coming semester regularly. Encourage ownership of these risks and solutions by course teams. Review viability and attractiveness of courses. Amend where appropriate. Consider PT HE courses to start semester 2 or 3.</li> <li>• Look at progression pathways to address any gaps. Increase industry talks etc.</li> <li>• Review CDN research for marketing strategy. Ensure website is populated. Open days, good news stories, showcasing work. Raising awareness of new brand.</li> </ul>	<p>12</p>	<p>L&amp;T sub committee, SMT, LB &amp; KB</p>
<p><i>Shetland UHI / 2</i></p> <p><b>College does not achieve allocated FE Credit targets.</b></p>	<p>Failure to recruit sufficient students due to various factors such as: over ambitious PPF target, poor marketing, curriculum gaps,</p>	<p>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</p>	<p>16</p>	<ul style="list-style-type: none"> <li>• Increase offer of PT FE courses for semester 2 and 3 start.</li> <li>• Relook at courses to maximise credit numbers. Review numbers and plans for coming semester regularly. Encourage ownership and buy in from staff teams. Review viability and attractiveness of courses and amend where appropriate. Review FAs.</li> <li>• Cross departmental courses to develop additional or more attractive offer. Partnership courses to increase offer. Engage with UHI curriculum review. Cross departmental delivery. Review application processes</li> <li>• Build on existing industry relationships and create new links to offer increased work-based learning opportunities. Build on school partnerships, potentially considering engaging with younger children.</li> </ul>	<p>12</p>	<p>L&amp;T sub committee, SMT, LB &amp; KB</p>

	poor NSS results etc.			<ul style="list-style-type: none"> <li>Review CDN research for marketing strategy. Ensure website is populated. Open days, good news stories, showcasing work. Raising awareness of new brand.</li> </ul>		
<i>Shetland UHI / 3</i>  <b>The institution has a poor reputation.</b>	Significant or sustained adverse publicity, governance/management failure, negative comments on social media, poor academic results, poor performance in league tables, significant withdrawal rates.	Inability to recruit students or attract and retain high calibre staff, inability to attract funding and/or develop strategic partnerships.	12	<ul style="list-style-type: none"> <li>Manage expectations and perceptions: identification of elements of operational environment and strategy that could affect SUHI reputation. Assess reputation and areas for improvement through student feedback</li> <li>Improve weak internal co-ordination: improving service by breaking down silos/improvement in infrastructure / governance / processes and culture to be prepared to meet opportunities and meet expectations</li> <li>Role of Employees: use of communications guide and promotion and active use of values</li> <li>Creating a strong positive reputation among stakeholders: engaging with stakeholders through communications channels to create a positive reputation</li> </ul>	9	BoM, SMT, Principal, GM, Comms
<i>Shetland UHI / 4</i>  <b>Disruption to services/projects and/or partnership working resulting from loss of a key staff member.</b>	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	Projects delayed due to loss of continuity, corporate knowledge gaps and disruption/loss of established relationships and contacts.	9	<ul style="list-style-type: none"> <li>Create succession plan for staff who are retiring in next 3-5 years. Ensure Key managers delegate well and train staff under key members to act up for at least parts of their jobs.</li> </ul>	6	HR&R, SMT, JF

	with staff acting up and possible failure of backfill solutions.					
<i>Shetland UHI / 5</i> <b>Non-compliance with relevant statutory regulations</b>	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.	GDPR will provide new rights for individuals and impose additional obligations on data controllers and processors.	15	<ul style="list-style-type: none"> <li>SharePoint site containing Health &amp; Safety and GDPR policies and procedures is available to staff. GDPR Group and Health &amp; Safety Committee have started to review all policies and procedures. Amended documents to be read by all staff. This should be repeated annually.</li> <li>Annual audit of data register must take place to ensure control of all personal data and in particular protected data. Data Breaches must be correctly reported and documented on the Data Breach Register. All incidences of consent must be recorded on the Consent Register.</li> <li>Compliance and Projects Coordinator is a member of IOSH and is regularly updated with changes to H&amp;S law and Insurance changes. Relevant changes are currently shared with staff. The compliance and Project Coordinator attends UHI H&amp;S Practitioners Group Meetings. UHI DPO also circulates changed on GDPR law as they occur.</li> </ul>	10	Health, Safety & Wellbeing Group; GDPR Working Group, SMT
<i>Shetland UHI / 6</i> <b>Governance Failure</b>	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-	Recent advertisements for new members have attracted few applications		<ul style="list-style-type: none"> <li>College should run a scoring system for the recruitment of board members to ensure it has strong links with industry and has necessary key skills.</li> <li>Regular review of board members skills and industry links by search and nominations committee</li> <li>Regular review of Terms of Reference of sub-committees by Board</li> <li>Board induction</li> <li>Board training</li> <li>Implementation of Code of Good Governance</li> </ul>		Search & Nominations; Chair & Sec

	remunerated roles.  Individuals do not understand their roles. College does not adhere to Code of Good Governance					
<i>Shetland UHI / 7</i>  <b>Financial failure/operating loss. Inability to achieve a balanced budget.</b>	Efficiencies savings are not realised. Increased employment costs, whilst not achieving income forecasts.	Increased pay costs (national bargaining), pensions and NI contributions. Efficiency savings are not achieved quickly enough to counteract reductions in income.	16	<ul style="list-style-type: none"> <li>Budget Setting - timetable set to collate income projections and related expenditures budgets from staff. Aim to maximise existing resources and identify efficiencies at earliest opportunity.</li> <li>Budget Control - Monitoring processes for both income and expenditure. Unexpected over/under income/expenditure identified early. Regular reporting to F&amp;GP and SMG.</li> <li>Employment costs - Changes as a consequence of national agreements. Regular review of employment cost budget. Continued lobbying of SFC/SGOV to mitigate cost of changes through funding support. Plan for scenarios into the future where support reduces.</li> <li>Pension Fund - Increased costs through employer contributions. Continue to monitor valuations and keep up to date on any options that may be available. Impact of increased costs likely to effect service budgets and should be considered when setting/monitoring budgets.</li> <li>New Funding Streams - Seek new funding streams, to maximise efficiency of existing activities and for new activities to grow business.</li> </ul>	12	HOD's, GG, IJ, Principal, F&GP, Capital Spend Working Group, Budget holders
<i>Shetland UHI / 8</i>  <b>College estate not fit for purpose.</b>	Lack of investment in capital maintenance/new capital project expenditure.	Poor performance in NSS, increased number of complaints received, unable to meet new growth targets.	12	<ul style="list-style-type: none"> <li>Engagement with Islands Deal and in-depth planning around best use of the fund available across the campuses</li> <li>Capital Planning Group has been set up to monitor existing capital spend and plan for future capital investment.</li> <li>Development of new and updated list of needs/wants from staff &amp; students: creation of this list will allow SUHI to provide courses and infrastructure that meet industry standards and needs. List will be</li> </ul>	6	F&GP, Operations and Estates, Capital Spend

	Rapid growth of student population without investment in new expanded facilities.			<p>agile so we can take advantage of funding as and when it becomes available.</p> <ul style="list-style-type: none"> <li>• Maintaining planned and reactive repairs to maintain the condition of the buildings.</li> <li>• New Funding Streams - Seek new funding streams to support development particularly with regard to reaching Net Zero</li> </ul>		Working Group, GM, GG, AS, BH, JL
<i>Shetland UHI / 9</i>	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 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.	3	<ul style="list-style-type: none"> <li>• All teaching staff are required to have registered with GTCS and obtain TQFE qualifications and will be continually reviewed. Quality Assurance group will strive to continuously improve quality of teaching.</li> <li>• Peer reviews</li> <li>• Professional review</li> <li>• Review policies and procedures</li> <li>• Staff development days</li> <li>• TQFE mentors</li> </ul>	1	LTR sub committee, QIC, KB, LB, SS
<b>Academic quality is sub-standard</b>						
<i>Shetland UHI / 10</i>	Poor college estate. Dispersed campus with limited facilities for social interaction. Technology failures. Limited	Poor performance in national student satisfaction surveys. Reputational damage. Impact on ability to recruit future cohorts. Risk	6	<ul style="list-style-type: none"> <li>• Encourage more student feedback. Engage with HISA. Create team, or dedicate a person, to action improvements.</li> <li>• Response to feedback?</li> <li>• Campus redevelopment project</li> <li>• Redesigned induction</li> <li>• Support sessions.</li> </ul>	4	LTR sub committee, Academic Board, SMT, LB, KB, GM, SS
<b>Poor Student Experience</b>						

	teaching/library resources.	to core income streams.				
<i>Shetland UHI / 11</i>	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.	Damage to reputation. Brexit. Poor performance in next REF. Inability to retain staff and research teams. Reduced income.	9	<ul style="list-style-type: none"> <li>Seek additional research opportunities including, where possible, higher calibre projects. Take on more PhD students. Make it a policy to publish articles within regular set timelines. Assist staff to progress academically. Engage more with UK and international collaborators. Market our research skills.</li> <li>Ensure research staff all have training in PURE and understand the requirements regarding open access</li> <li>Training session included in SUHI training day 17-1-22</li> <li>All research students to be given PURE training as part of UHI Graduate School induction</li> <li>Produce internal SUHI processes for the approval of publications for submission</li> <li>Develop a research framework that provides staff with opportunities to develop research networks e.g. <ul style="list-style-type: none"> <li>- conference funding</li> <li>- encourage engagement with research pools and other committees</li> <li>- share information on sabbaticals</li> </ul> </li> <li>Ensure best practice with respect to REF including: <ul style="list-style-type: none"> <li>- training for staff on how to improve the star rating of publications (being prepared for training day on 17-1-22)</li> <li>- training and awareness raising around REF Case studies (included in staff training for 17-1-22)</li> </ul> </li> <li>Encourage staff to participate in the Research Mentoring Programme</li> </ul>	9	BM, RECT, CA, MI
<i>Shetland UHI / 12</i>	Poor IT security measures. Equipment with security holes.	Information Commissioner fine of up to £500k. Adverse press coverage. Loss	12	<ul style="list-style-type: none"> <li>Ownership and proactive monitoring of cybersecurity risks at university and academic partner senior management level. Complete Information asset register. Sensitive personal data must be secured appropriately, handled correctly and accessed carefully by approved users. Mandated information security training and increased staff</li> </ul>	6	BoM, SMT, GDPR Working

<p><b>Institutional, personal and sensitive data is corrupted, lost, stolen or misused or services are disrupted through malicious and illegal activities by external individuals or bodies.</b></p>	<p>Poor patching regime. Anti-virus is not up-to-date and comprehensive. Firewalls are configured incorrectly. Coordinated DDOS attack on university infrastructure. 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.</p>	<p>of confidence by regulators, stakeholders and HE sector. Ransomware encryption has been detected on UHI network.</p>		<p>awareness of information security issues. Information security embedded as a core aspect of all staff job roles. Business continuity plans in place for cyber-attack and information breach response. Open culture promoting the reporting of potential data security issues for investigation. Standard IT security measures in place validated by internal and external vulnerability testing</p> <ul style="list-style-type: none"> <li>• Since UHI cyber-attack, documents now stored on SharePoint and on Cloud.</li> <li>• Training and frequent reviews / annual refreshers on ICT security and safety measures. Tech Tips: available for staff on SharePoint and highlighted in newsletters</li> <li>• Reviewing ICT policies and ensuring that they are easily accessible for staff to check.</li> <li>• Timely removal of staff who have left from IT systems.</li> <li>• Business Continuity Plan</li> <li>• Asset Database: need to combine and keep up to date in case of any future cyber incident.</li> </ul>		<p>Group, Operations Committee, GM, AS, GG, ICT, JF</p>
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## Key

<b>RISK MAP (for Gross risk &amp; residual risk)</b>		<b>TIMESCALE 3 YEARS</b>				
<b>IMPACT</b>						
<b>5 - Catastrophic</b>	<b>5</b>	<b>10</b>	<b>15</b>	<b>20</b>	<b>25</b>	
<b>4 - Major</b>	<b>4</b>	<b>8</b>	<b>12</b>	<b>16</b>	<b>20</b>	
<b>3 - Significant</b>	<b>3</b>	<b>6</b>	<b>9</b>	<b>12</b>	<b>15</b>	
<b>2 - Minor</b>	<b>2</b>	<b>4</b>	<b>6</b>	<b>8</b>	<b>10</b>	
<b>1 - Insignificant</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	
	<b>1 - Very Rare</b>	<b>2 - Unlikely</b>	<b>3 - Possible</b>	<b>4 - Likely</b>	<b>5 - Almost Certain</b>	
	<b>LIKELIHOOD</b>					