

Risk Number & Name	Causes	Impacts	Residual Risk (Pre action)	Action Points	Residual Risk (Post action)	Action Owner, Deadline	Owners
Shetland UHI / 1 College does not achieve allocated HE student number targets.	Failure to recruit sufficient students due to various factors such as: over ambitious PPF target, poor marketing, curriculum gaps, poor NSS results etc.	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	12				LTR sub committee, SMT, Depute Principal (Tertiary)
Shetland UHI / 2 College does not achieve allocated FE Credit targets.	Failure to recruit sufficient students due to various factors such as: over ambitious PPF target, poor marketing, curriculum gaps, poor NSS results etc.	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	16		12		L&T sub committee, SMT, Depute-Principal (Tertiary)

<p>Shetland UHI / 3 The institution has a poor reputation.</p>	<p>Significant or sustained adverse publicity, governance/management failure, negative comments on social media, poor academic results, poor performance in league tables, significant withdrawal rates. Student complaints.</p>	<p>Inability to recruit students or attract and retain high calibre staff, inability to attract funding and/or develop strategic partnerships. Poor student experience</p>	<p>•</p>		<p>9</p>		<p>BoM, SMT, Principal, Vice-Principal (Operations), Comms</p>
<p>Shetland UHI / 4 Disruption to services/projects and/or partnership working resulting from loss of a key staff member.</p>	<p>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.</p>	<p>Projects delayed due to loss of continuity, corporate knowledge gaps and disruption/loss of established relationships and contacts.</p>	<p>9</p>		<p>6</p>		<p>HR&R, SMT, HR Lead</p>
							<p>Nov 2022</p>

<p style="text-align: center;">Shetland UHI / 5</p> <p style="text-align: center;">Non-compliance with relevant statutory regulations</p>	<p>Lack of awareness of relevant laws and penalties. Management failures: eg new General Data Protection Regulation from 25th May 2018, Bribery Act, Health and Safety Regulations etc.</p> <p>Governance or management failure</p>	<p>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.</p> <p>Reputational damage, inability to attract funding; inability to develop strategic partnerships.</p> <p>Damage to individuals/Data Subjects</p>	<p>15</p>		<p>10</p>		<p style="text-align: center;">Health, Safety & Wellbeing Group; GDPR Working Group, SMT, BoM</p> <p style="text-align: center;">April 2023</p>
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<p>Shetland UHI / 6 Governance Failure</p>	<p>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. Individuals do not understand their roles. College does not adhere to Code of Good Governance</p>	<p>Recent advertisements for new members have attracted few applications</p> <ul style="list-style-type: none"> • Board is unable to discharge its duties properly; • Recruitment and retention of governor/director is challenging; • Auditors find poor decision-making at Board level; • Auditors challenge the college on its lack of adherence to the Code of Good Governance 	<p>20</p>	<ul style="list-style-type: none"> • Board members induction and Board members complete core training • Annual Development Reviews completed. • Training and upskilling of Board Secretary • Regular meetings between Principal, Secretary, and Chairs • Implementation of Code of Good governance • Completing Assingation to Regional Strategic Body • Appointment of Auditors and Undertaking Audits • Review of Audits by Audit Committee • Register of Interests renewed each year • Regular review of: <ul style="list-style-type: none"> • Board members skills and industry links by Search and Nominations Committee • Terms of Reference of Committees by Board of Management • Strategic Plan 	<p>9</p>		<p>Search & Nominations; Chair & Secretary</p>
<p>Shetland UHI / 7 Financial failure/operating loss. Inability to achieve a</p>	<p>Efficiencies savings are not realised. Increased employment costs, whilst not achieving income forecasts.</p>	<p>Increased pay costs (national bargaining), pensions and NI contributions. Efficiency savings are not achieved quickly enough to counteract reductions in income.</p>	<p>16</p>		<p>12</p>		<p>HOS, Finance Lead, Principal, F&GP, Capital Spend Working Group, Prudnet holders</p>

						Sept 2022
Shetland UHI / 8 College estate not fit for purpose.	Lack of investment in capital maintenance/ new capital project expenditure. Rapid growth of student population without investment in new expanded facilities. Infrastructure/ estate is unsuitable or not fit for purpose	Poor performance in NSS, increased number of complaints received, unable to meet new growth targets.	12		6	F&GP, Operations and Estates, Capital Spend Working Group, Principal, Vice-Principal (Operations), Head of Facilities Development Manager, Director

						June 2023
<i>Shetland UHI / 9</i> Academic quality is sub-standard	Difficulty recruiting and retaining high calibre staff. Conditions and terms of employment are not competitive with limited scope for career progression. Failure to engage with awarding	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. Loss of approvals; Inability to offer courses;	3		1	LTR sub committee, QIC, Depute Principal (Tertiary)

	<p>bodies' recommendations and actions; Failure to train staff adequately; Quality processes not circulated to staff; Ineffective QIC process; Not keeping updated with UHI quality discussion and forums; Failure to respond to feedback on quality system; Poor record-keeping; Out of date content and materials.</p>	<p>Lack of appropriate data; Other partners not willing to work with us.</p>				<p>June 2023</p>
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<p>Shetland UHI / 10 Poor Student Experience</p>	<p>Poor college estate. Dispersed campus with limited facilities for social interaction. Technology failures. Limited teaching/library resources.</p>	<p>Poor performance in national student satisfaction surveys. Reputational damage. Impact on ability to recruit future cohorts. Risk to core income streams.</p>	<p>6</p>	<ul style="list-style-type: none"> • Involvement with wider UHI partners gives continuity and access to a wider range of courses. • Risk assessment raised owing to lack of student results. 	<p>4</p>		<p>LTR sub committee, Academic Board, SMT, Depute Principal (Tertiary), Vice-Principal (Operations), Head of Student Experience</p>
<p>Shetland UHI / 11 Research outputs are sub standard</p>	<p>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</p>	<p>Damage to reputation. Brexit. Poor performance in next REF. Inability to retain staff and research teams. Reduced income.</p>	<p>9</p>	<p>Develop project management systems for all research activities (from concept to delivery), ensuring adequate funding, resourcing and management of research.</p> <ul style="list-style-type: none"> • Development of project management system based on previously used NAFC system is progressing • Projects flowchart and email templates in development to improve flow of information • New IT / software support systems are being investigated 	<p>9</p>		<p>LTR, Director of Research, REKT</p>

	<p>with competitor organisations. Impact of Brexit on access to European projects.</p> <p>Staffing: Loss of key staff, lack of resilience; terms and conditions of employment are not comparable with competitor organisations impacting staff turnover and recruitment. Inadequate resourcing and management of research activity impacting output quality.</p>			<ul style="list-style-type: none"> • Business Devt & research leads are working closer with UHI Research and Contracts team. <p>Provide a positive work environment and culture for research staff</p> <ul style="list-style-type: none"> • Support staff to attend research conferences, engage with UHI Research Clusters, external networks, undertake sabbaticals (recorded via PRD process) • Monitor staff workload and time allocations to funded research activities to ensure adequate time to produce quality research • Encourage participation in UHI Mentoring Programme • Strengthen resilience by skills/ critical process training within teams; continuity planning; benchmarking and job evaluation exercise due to start in 2023. (Link to Risk 04 – Staffing). <p>Ensure best practice with respect to REF including:</p> <ul style="list-style-type: none"> • Staff encouraged to attend relevant UHI events/ training • REF outputs discussed during PRD meetings (with relevant staff) • UHI initial REF stocktake/ grading for Units of Assessment (due May 2023) • UHI REF Action Plan (due July 2023) 		<p>June 2023</p>
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				<ul style="list-style-type: none">• Awareness raising and compliance re upload to PURE - ongoing. <p>External factors affecting outcomes of research activities cannot always be controlled, but can be mitigated against by:</p> <ul style="list-style-type: none">• Maintaining good communication with project partners and funders,• Supporting staff to make project revisions when / where necessary (internal monitoring & external notification)		
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<p>Shetland UHI / 12</p> <p>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.</p>	<p>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 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>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.</p>	<p>12</p>	<ul style="list-style-type: none"> • Core Switches at both campuses to be replaced to support firmware updates, reducing one cyber risk. • Cyber security Audit. • Timely removal of staff from ICT systems. • Action audit recommendation to check business critical programmes. • Move to Windows 11; <ul style="list-style-type: none"> ○ Review fleet and determine whether to replace or reduce equipment • Move to A5 Microsoft licensing and higher security; timetable driven by UHI ICT. 	<p>6</p>	<p>Ops and Estates, GM, Head of ICT, Head of Facilities HR Lead</p>	<p>BoM, SMT, GDPR Working Group, Operations Committee, Vice-Principal (Operations, Head of Facilities, Head of Finance, HR Lead)</p> <p>Feb 2023</p> <p>Sept 2023</p>
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<p>Shetland UHI/13</p> <p>Failure to act appropriately and timeously regarding progressing actions designed to achieve obligations to reduce emissions and to achieve net</p>	<p>Climate change is widely accepted as inevitable and some major effects are now broadly accepted to be certain and these may influence many of our activities from delivery of teaching, research and examinations to student recruitment, supply chains, insurance premiums and the profitability of investments.</p> <p>Following its declaration of a</p>	<p>Business continuity and resilience may be impacted by a changing climate that has the potential to create new types of disruption, as well as exacerbating risks that already exist. Hotter summers could occur half the time by 2070. Storms will occur more often and be more intense with periods of exceptional rainfall. Estates in remote and exposed areas and at sea level may be particularly at risk to adverse weather events including storm damage and flooding.</p>		<ul style="list-style-type: none"> • Ensure UHI Shetland has clear plans and associated targets in place to reduce carbon emissions • Climate Change Assessment Tool March 2023 <ul style="list-style-type: none"> • Emissions Reduction Plan (approved by UHI Shetland Board June 2023) • Priorities include decarbonising heat at Scalloway campus and eliminating propane use at Lerwick campus by 2030 • Assessment of estate (inc. space utilisation) to identify efficiencies • Encourage staff to take action to reduce energy use and, therefore, emissions – e.g. car usage, turning off lights and computers • Ensure UHI Shetland has clear plans in place to adapt to climate change 			<p>F&GP SMG / Prof Services F&GP</p> <p>March 2023</p>
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	<p>climate emergency in 2019, the Scottish Government has set ambitious legislative targets to reduce carbon emissions to net-zero by 2045. Emissions in 2030 are intended to be at least 75% lower than the 1990 baseline, with 2040 emissions at least 90% lower than baseline.</p> <p>UHI is classified as a relevant public authority for the purposes of this legislation and specific duties and obligations exist that require proactive actions to reduce emissions and to routinely report on progress.</p>	<p>Risk of reputational damage if UHI is perceived to have failed to act appropriately to achieve its obligations (Greenwashing) and negative media coverage may impede future student recruitment, access to capital funding and research opportunities.</p> <p>Operational Risks: - Property damage due to changing and more intense weather conditions - Disruptions to communications, teaching and travel caused by extreme weather events - Shifting infrastructure requirements, for example the need to provide cooling in buildings during the summer months ;</p> <p>Transitional Risks: - Risk to reputation - student and societal pressure for UHI Shetland to demonstrate innovation and sustainability and show leadership in climate action.</p>		<ul style="list-style-type: none"> • Climate Adaptation planning Autumn 2023 • Risk-based approach to ensuring climate resilience and business continuity <ul style="list-style-type: none"> • Ensure UHI Shetland has embedded sustainability within all activities and is making a clear contribution to local and national efforts to enhance sustainability <ul style="list-style-type: none"> • CDN project to embed sustainability within the curriculum September – December 2023 • Green Skills Funding to expand range of courses offered by UHI Shetland relevant to the transition to net zero • Promotion and marketing of UHI Shetland as a green skills provider • Alignment with Corporate Responsibility Strategy 			
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		<ul style="list-style-type: none">- Risk to enrolment - student pressure to access training and accreditation in programs that will lead to opportunities that match their values and interests in climate justice and jobs associated with the net zero transition.- Increasing staff and organizational capacity to meet compliance requirements, for example PBCCD emissions tracking and reporting. <p>Financial Risks:</p> <ul style="list-style-type: none">- Increasing financial demands to meet compliance requirements for emissions reductions, for example, decarbonized heating systems and fleet vehicles.- Supply chain pressures that will increase as emission reduction target dates draw closer, i.e. a slow response may be a more costly response- Rising insurance costs				
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Key

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