

<b>Shetland UHI / 1</b>			
<b>College does not achieve allocated HE student number</b>			
<b>Causes</b>			
Failure to recruit sufficient students.			
<b>Impacts</b>			
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 year's grant.			
<b>Action Points</b>			
<b>Owners</b>			
LTR sub-committee, SMT, Depute Principal (Tertiary)			
<b>Residual Risk</b>			
<b>Pre Action</b>	<b>12</b>	<b>Post Action</b>	
<b>Review Date</b>			
Interim review April 2023			

<b>Shetland UHI / 2</b>			
<b>College does not achieve allocated FE Credit</b>			
<b>Causes</b>			
Failure to recruit sufficient students.			
<b>Impacts</b>			
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 year's grant.			
<b>Action Points</b>			
<b>Owners</b>			
LTR Sub-committee, SMT, Depute Principal (Tertiary)			
<b>Residual Risk</b>			
<b>Pre Action</b>	<b>16</b>	<b>Post Action</b>	<b>12</b>
<b>Review Date</b>			

<b>Shetland UHI / 3</b>			
<b>The Institution has a poor reputation</b>			
<b>Causes</b>			
Significant or sustained adverse publicity; Governance or management failure; Negative comments on social media; Poor academic results; Poor performance in league tables; Significant withdrawal rates; Student complaints.			
<b>Impacts</b>			
Inability to recruit students; Inability to attract and retain high calibre staff; Inability to attract funding and/or develop strategic partnerships; Poor student experience			
<b>Action Points</b>			
Manage expectations and perceptions; Improve weak internal coordination; Create a strong, positive reputation among stakeholders.			
<b>Owners</b>			
Board of Management, SMG, Principal, Vice-Principal (Operations), Communications.			
<b>Residual Risk</b>			
<b>Pre Action</b>	<b>12</b>	<b>Post Action</b>	<b>9</b>
<b>Review Date</b>			
23.01.2024			

<b>Shetland UHI / 4</b>			
<b>Disruption to services/projects and/or partnership working resulting from loss of a key staff member</b>			
<b>Causes</b>			
Retirement, resignation or death in service; Inadequate succession planning; Over-reliance on individuals.			
<b>Impacts</b>			
Knock-on impacts resulting from transition arrangements and possible failure of backfill solutions; Projects delayed due to loss of continuity; Corporate knowledge gaps and disruption/loss of established relationships; Research data sharing agreements are individual, with disruption to work if the individual leaves.			
<b>Action Points</b>			
Performance Review; Succession planning; Identification of key staff members/isolated functions; Improvement of staff data; Review termination notice periods; Invest in staff development			
<b>Owners</b>			
HR&R, SMT, HR and OD Lead.			
<b>Residual Risk</b>			
<b>Pre Action</b>	<b>9</b>	<b>Post Action</b>	<b>6</b>
<b>Review Date</b>			
28.11.2023			

<b>Shetland UHI / 5</b>			
<b>Non-compliance with relevant statutory regulations</b>			
<b>Causes</b>			
Governance or management failure; Lack of awareness of relevant laws and penalties.			
<b>Impacts</b>			
Damage to individuals/data subjects.			
<b>Action Points</b>			
UHI Shetland will complete a record of processing activity (ROPA) and review it annually.			
<b>Owners</b>			
Board of Management; SMT; Health; Safety and Wellbeing working group; GDPR working group.			
<b>Residual Risk</b>			
<b>Pre Action</b>	<b>15</b>	<b>Post Action</b>	<b>10</b>
<b>Review Date</b>			
28.11.2023			

<b>Shetland UHI / 6</b>			
<b>Governance failure</b>			
<b>Causes</b>			
Governance body does not have an appropriate balance of skills and experience; Role of governor is onerous and it is difficult to attract a broad range of high-calibre individuals; Individuals do not understand their roles; College does not adhere to Code of Good Governance.			
<b>Impacts</b>			
Board is unable to discharge its duties properly; Recruitment and retention of governors is challenging; Auditors find poor decision-making at Board level; Auditors challenge college on failure to adhere to Code of Good Governance.			
<b>Action Points</b>			
<b>Owners</b>			
Search and Nominations sub-committee, Chair of Board, Board Secretary			
<b>Residual Risk</b>			
<b>Pre Action</b>	<b>20</b>	<b>Post Action</b>	<b>9</b>
<b>Review Date</b>			

<b>Shetland UHI / 7</b>			
<b>Financial failure / operating loss / inability to achieve a balanced budget</b>			
<b>Causes</b>			
Efficiencies savings are not realised; Increased employment costs; Not achieving forecast income.			
<b>Reduction in Student Numbers</b>			
<b>Reduction in SFC Funding and/or Other Income</b>			
<b>Impacts</b>			
Increased pay costs, pensions and NI contributions; Efficiency savings are not achieved quickly enough to counteract reductions in income.			
<b>Action Points</b>			
<b>Employment Controls:</b>			
<ul style="list-style-type: none"> <li>- Continued lobbying of SFC/Scottish Government to mitigate employment costs through funding support; <b>regular review of employment cost budget</b>;</li> <li>- Regular review of funding support;</li> <li>- Continued recruitment freeze; <b>essential replacement only</b>;</li> <li>- Monitor valuations of pension fund and keep up to date on options available; <b>impact of increased costs likely to be considered when setting/monitoring budgets</b>;</li> </ul>			
<b>Identification and Implementation of Efficiency Savings:</b>			
<ul style="list-style-type: none"> <li>- Maximise existing resources and identify efficiencies at the earliest opportunity;</li> <li>- Regular reporting of income and expenditure, cash flow and student numbers to <b>F&amp;GP and SMG</b>;</li> <li>- Monitor processes for income and expenditure and early identification of overs/unders;</li> <li>- Identify and implement activities for reducing estates' operational costs;</li> </ul>			
<b>Grow the Business through Maximising Existing Resources:</b>			
<ul style="list-style-type: none"> <li>- Maximise the effectiveness of grant awards to grow the business;</li> </ul>			
<b>Restructuring/Recovery Plan:</b>			
<ul style="list-style-type: none"> <li>- Ongoing development of restructure/recovery plan;</li> <li>- VSS approval received from RSB/SFC;</li> </ul>			
<b>Close Communication with RSB/SFC:</b>			
<ul style="list-style-type: none"> <li>- Sharing of recovery plans;</li> <li>- <b>Regular reporting of I &amp; E and cash flow forecasts for 2023/24 and FE and HE Student activity</b>;</li> <li>- Regular meetings to update and further develop plans;</li> </ul>			
<b>Policies and Procedures to minimise Fraud.</b>			
<b>Owners</b>			
F&GP; SMT; SMG; Director of Finance; Capital Planning Group; budget holders.			
<b>Residual Risk</b>			
<b>Pre Action</b>	<b>20</b>	<b>Post Action</b>	<b>12</b>
<b>Review Date</b>			
05.03.2024			

<b>Shetland UHI / 8</b>			
<b>College estate not fit for purpose</b>			
<b>Causes</b>			
Lack of investment in capital maintenance/new capital expenditure; Rapid growth of student population without investment in new expanded facilities; Infrastructure/estate is not suitable and/or fit for purpose.			
<b>Impacts</b>			
Poor performance in NSS; Increased number of complaints; Unable to meet new growth targets.			
<b>Action Points</b>			
Implement Island Deal Campus Redevelopment; appointment of project manager and develop detailed plan; Create staged project plan to deliver campus redevelopment and move to single campus. Create problem-solving core team with delegated authority. Regular review of projects by Capital Planning Group. Develop updated, agile list of staff/student needs to prioritise allocation of resources. Live, responsive, calendar of maintenance to keep campus infrastructure in good repair. Seek new funding streams to support the campus redevelopment, particularly with regard to Net Zero.			
<b>Owners</b>			
F&GP; Capital Planning Group; Vice-Principal (Operations); Director of Finance Head of Facilities; Estates Technicians			
<b>Residual Risk</b>			
<b>Pre Action</b>	<b>12</b>	<b>Post Action</b>	<b>6</b>
<b>Review Date</b>			
14.03.2024			



<b>Shetland UHI / 9</b>			
<b>Academic quality is sub-standard</b>			
<b>Causes</b>			
<p>Failure to engage with awarding bodies' recommendations and actions;                      Failure to train staff adequately;                      Ineffective QIC process;                      Not keeping up to date with UHI quality discussions and forums;                      Failure to respond to feedback on quality systems;                      Poor record-keeping;                      Out of date content and materials.</p>			
<b>Impacts</b>			
<p>Loss of approvals;                      Inability to offer courses;                      Lack of appropriate data;                      Other partners not willing to work with us</p>			
<b>Action Points</b>			
<p>Engagement with ES visits, including thematic visits;                      Participate in and record audit activity, sharing outcomes at QIC and SMG;                      Follow-through on SQA verification audit;                      Regular staff development sessions;                      Probationary process;                      Mandatory training;                      PRD process and encouragement to complete GTCS registration;                      Central repository of quality information 'Quality Matters' resource on intranet;                      Quality monitored termly at QIC and AB;                      Changes in policy reviewed at QIC and SMG, and communicated via newsletter and SDDs;                      Staff encourage to become representatives on pan-UHI working groups;                      QIC reviews verifier feedback and completion monitored by SQA co-ordinator;                      Ensure staff are using current documentation;                      All staff encouraged to provide feedback on policies and procedures, with policy review at QIC;                      Reinstatement of interim progression boards.</p>			
<b>Owners</b>			
LTR sub-committee; QIC, Depute Principal (Tertiary)			
<b>Residual Risk</b>			
<b>Pre Action</b>	<b>3</b>	<b>Post Action</b>	<b>1</b>
<b>Review Date</b>			
06.02.2024			

<b>Shetland UHI / 10</b>			
<b>Poor student experience</b>			
<b>Causes</b>			
Students not being listened to; Lack of funding or funding not processed in a timely manner; Poor communications.			
<b>Impacts</b>			
Falling student roll: <ul style="list-style-type: none"> <li>- Students going elsewhere/off island for training;</li> <li>- Increased withdrawal rates;</li> </ul> Significant or sustained adverse publicity; Negative social media image; Increase in volume of complaints/impact on student surveys for college comparisons.			
<b>Action Points</b>			
Quality control of course information; Student access to teaching staff to discuss choices; Use of Paperless system to enrol and track students' progress; Information on enrolment provided to students; Feedback loops to relevant departments; Student induction on arrival and longitudinally, with access to student support; Quality experience in student accommodation; Student Support services available to students throughout life cycle; Student experience paramount in UHI Shetland decisions; Students communicated with regularly; and are encouraged to become involved in college matters; Rigorous review of study material; Constructive and timely feedback which is acted on promptly and prioritised; Grades are verified and input into systems in a timely manner; Students are appropriately informed about the appeals process; Results are forwarded promptly to students; Student success is celebrated with appropriate public coverage; Alumni are invited to become engaged with current and future students.			
<b>Owners</b>			
LTR sub-committee, Academic Board, SMT, Depute Principal (Tertiary); Vice-Principal (Operations), Head of Student Experience			
<b>Residual Risk</b>			
<b>Pre Action</b>	<b>16</b>	<b>Post Action</b>	<b>9 - 12</b>
<b>Review Date</b>			
September 2023			

<b>Shetland UHI / 11</b>			
<b>Research outputs are sub-standard</b>			
<b>Causes</b>			
Failure to publish sufficient quality papers; Loss of key staff; Lack of resilience; Lack of funding; Inadequate resources allocated to research staff; T&Cs not comparable with competitor organisations impacting staff turnover and recruitment; Impact of Brexit on access to European projects.			
<b>Impacts</b>			
Damage to reputation; Inability to retain staff and research teams; Reduced income.			
<b>Action Points</b>			
Develop project management systems for all research activities from concept to delivery, ensuring adequate funding, resourcing and management of research; Make REG funding available to support staff time for research; Ensure best practice with respect to REF preparatory to cohort identification May 2024			
<b>Owners</b>			
LTR sub-committee, REKT, Director of Research, Enterprise and Impact			
<b>Residual Risk</b>			
<b>Pre Action</b>	<b>9</b>	<b>Post Action</b>	<b>9</b>
<b>Review Date</b>			
20/02/2024			

<b>Shetland UHI / 12</b>			
Institutional, personal, and sensitive data is corrupted, lost, stolen or misused, or services are disrupted through malicious or illegal activities by external individuals or bodies			
<b>Causes</b>			
Poor IT security measures: <ul style="list-style-type: none"> <li>- Security gaps in equipment;</li> <li>- Poor patching regime;</li> <li>- Firewalls incorrectly configured;</li> <li>- Anti-virus arrangement incomplete/not kept up to date;</li> </ul> Co-ordinated DDOS attack on university infrastructure; Ransomware encryption detected on UHI network.			
<b>Impacts</b>			
Loss of business continuity; Loss of confidence from regulators, stakeholders and HE sector; Information Commissioner fine of up to £500,000.			
<b>Action Points</b>			
Regular firmware upgrades; Cybersecurity audit; Timely removal of staff from ICT systems; Check of business-critical programmes; Data mismatches identified and remedied; Move to Windows 11 and A5 Microsoft Licensing with higher security and requirement for upgraded equipment; Implementation of Business Continuity Plan and testing of business-critical ICT programmes. <b>Local back-up plan subject to regular review and update.</b> <ul style="list-style-type: none"> <li>- Failed back-ups to be reported to UHI Shetland by ITC</li> <li>- Test adequacy of back-ups; develop response to failed back-ups.</li> </ul> <b>Phishing training to be developed for all staff and held on the intranet.</b>			
<b>Owners</b>			
Board of Management, SMT, Ops and Estates committee, GDPR working group, Vice-Principal (Operations), Director of Finance; HR & OD Lead; IT Lead			
<b>Residual Risk</b>			
<b>Pre Action</b>	<b>12</b>	<b>Post Action</b>	<b>6</b>
<b>Review Date</b>			
April 2024			

<p><b>Shetland UHI / 13</b>  <b>Failure to act appropriately or timeously regarding progressing actions designed to reduce emissions and to achieve Net Zero in the context of the climate emergency and in relation to all UHI activities and operations</b></p>			
<p><b>Causes</b></p> <p>New delegated legislation to achieve Net Zero by 2045, with significant interim reduction targets;          UHI classified as a relevant public body with significant duties and obligations under the legislation.</p>			
<p><b>Impacts</b></p> <p>Business continuity and resilience;          Estates in remote and exposed areas, including sea level, at particular risk from adverse weather events;          Risk of reputational damage if UHI is perceived to have failed to act appropriately to achieve its obligations, with negative media coverage and consequent impact on student recruitment, access to capital funding and research opportunities;          Operational risk from adverse weather events to estate and to communications; new operational needs, eg cooling systems;          Pressure to demonstrate innovation and sustainability, and show leadership in climate action;          Failure to keep in step with student values and interest in climate justice and jobs associated with the Net Zero transition;          Increasing financial demands to meet compliance requirements;          Supply chain pressures;          Rising insurance costs;</p>			
<p><b>Action Points</b></p> <p>Clear plans and associated targets to reduce carbon emissions:</p> <ul style="list-style-type: none"> <li>- Emissions reduction plan;</li> <li>- Assessment of estate to identify efficiencies;</li> <li>- Encourage staff action to reduce energy use and emissions, <b>eg car usage, heating, lighting and equipment;</b></li> <li>- <b>Assessment of estate and utilisation to identify efficiencies;</b></li> <li>- <b>Decarbonisation of heat at Scalloway campus and elimination of propane use.</b></li> </ul> <p>Clear plans to adapt to climate change:</p> <ul style="list-style-type: none"> <li>- Climate adaptation planning;</li> <li>- <b>Risk based approach to ensuring climate resilience and business continuity.</b></li> </ul> <p>Embed sustainability within all activities and ensure UHI Shetland is making a clear contribution to local and national efforts to enhance sustainability:</p> <ul style="list-style-type: none"> <li>- Green skills funding to expand the range of courses offered by UHI Shetland relevant to the transition to Net Zero</li> <li>- Promotion and marketing of UHI Shetland as a green skills provider;</li> <li>- <b>CDN initiative to embed sustainability within the curriculum;</b></li> <li>- <b>Alignment with the Corporate Responsibility Strategy.</b></li> </ul>			
<p><b>Owners</b></p> <p>F&amp;GP, SMG, Principal, Vice-Principal (Operations), Director of Finance, Professional Services</p>			
<p><b>Residual Risk</b></p>			
<p><b>Pre Action</b></p>		<p><b>Post Action</b></p>	
<p><b>Review Date</b></p> <p>April 2024</p>			

<b>Shetland UHI / 14</b>			
<b>Business continuity plan – local risk</b>			
<b>Causes</b>			
Cyber attack; Fire; Flood; Loss of key personnel; Terrorist attack; Pandemic/local epidemic.			
<b>Impacts</b>			
<b>Action Points</b>			
Identification of all business-critical functions; Ensure BCP is up to date with correct staff and that each staff member named has a clear detailed account of their responsibilities during a period of BCP; Gold command structure to be designed and implemented; Testing schedule to be implemented; Business continuity training.			
<b>Owners</b>			
Ops and Estates committee; Vice-Principal (Operations), ICT Lead, Head of Facilities.			
<b>Residual Risk</b>			
<b>Pre Action</b>	<b>10</b>	<b>Post Action</b>	<b>4</b>
<b>Review Date</b>			
October 2023			

KEY

RISK MAP (for Gross risk & residual risk)
TIMESCALE 3 YEARS

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
	<b>LIKELIHOOD</b>				