

UHI North, West and Hebrides STRATEGIC RISK REGISTER																					
Ref ID	Link to UHI Partnership Risk	Date Reviewed	Risk Status	Risk Category	Link to UHI Multi Strategic Goal/Strategic Initiatives	Risk Description	Causes	Owner(s)	Inherent Likelihood	Inherent Impact	Gross Risk	Risk Appetite	Target Risk	Mitigation to minimise risk	Residual Likelihood	Residual Impact	Residual Risk	Residual Risk Change	Action Plan	Review of actions to minimise risk (quarterly review)	Mitigation Action Owner
WWH/R/001	08/02/2024	Active	Financial	SG2/All enabling strategies	Failure to achieve financial sustainability	Failure to implement all initiatives in time and in cost, leading to financial failure to meet targets for FE and HE teaching and learning; Failure to secure income from research and business development activities, leading to financial failure to meet targets for FE and HE teaching and learning; Failure to secure income from research and business development activities, including digital, maintenance and net zero, failure to respond to SG2/EIC funding reforms, which may reduce available core funding for the college	Principal and ELT	5	5	20	High	Medium	Working with UHI and other agencies to influence SG funding policy; ensure sustainable funding allocation within UHI, including merger related financial and growth plans; increase efficiency and cost reduction through curriculum development activities; seek efficiency savings and opportunities through the implementation of a net zero sustainability plan and merger business case; development of a funding strategy for the college; development of international strategy aligned with UHI; seek funding and/or partnerships to enhance income generation	5	4	20	Medium			W and OSL	
WWH/R/002	08/02/2024	Active	Financial	SG2/Curriculum Strategy	Failure to secure market demand for curriculum offer	Inufficient market intelligence; insufficient marketing and key stakeholder engagement (schools, business, agencies, local government, etc.) to secure market demand for the curriculum products; insufficient budget to support curriculum development	Principal and VPA/AA	4	3	12	Medium	Curriculum review and planning; marketing and external engagement; marketing and curriculum review activities; utilisation of internal student progression to secure market demand for the curriculum products (e.g. SQA, 2024 etc.) to secure funding for development	3	3	12	Medium		Curriculum review Phase 2 completed and integrated single funding application for 2024-25, awaiting final confirmation with UHI on securing HE recruitment for 2024-25	Principal and VPA/AA		
WWH/R/003	08/02/2024	Active	Governance	SG3-E	Failure to maintain legal compliance with the full range of legal and public sector obligations	Volume and pace of compliance changes and obligations; staff capacity to undertake	ELT	5	2	20	High	Review of compliance topics and risk register; plan focused on managing and monitoring the full range of college-wide compliance topics from vehicle policy to data protection to managing risk	5	2	20	High		College completion of major aspects, awaiting SQA Systems certification report completed in February 2024, awaiting full confidence in all aspects of the review	ELT		
WWH/R/004	08/02/2024	Active	Financial	Curriculum and Infrastructure Strategy	There is a risk that the estate does not match the needs of our curriculum, skills and research requirements	Volume and pace of compliance changes and obligations; staff capacity to undertake	ELT	4	4	16	Medium	Continued engagement in Estates place based initiative (EPI) to identify opportunities to improve estate maintenance across sites; New forward planning procedure & prioritisation for estate maintenance and development	3	3	8	Medium		Information to progress major estates review in progress	ELT/EP/Operations		
WWH/R/005	08/02/2024	Active	Financial	SG2	Failure to create an environment in which research and HE can flourish	Loss of key research personnel impacting knowledge exchange capabilities; insufficient funding for Research; Limited resources hindering research and knowledge exchange	Principal, VP Ops/EP	4	3	12	Medium	Work closely with research staff on research capacity and contractual/corporate environment; plan and monitor engagement with research partners to ensure continued support to secure funding streams; Collaborate with regional partners to enhance research opportunities; Develop a research strategy; Secure appropriate share of RCUK related E&I and innovation grant funding for UHI to deliver to R&D exercise every year	3	3	8	Medium		Review of research environment to be conducted following organisation restructuring by end of 2024-25	ELT		
WWH/R/006	08/02/2024	Active	Organisational	People	Effective employee relations through local and national channels are not secure taking account of NPA	Lack of engagement locally and through Employers Association	Principal, Director of HR	4	5	20	High	Specific and regular communications highlighting employee engagement and development opportunities; Changing representation of Employers Association (requires engagement with local partners)	2	4	12	Medium		Fortnightly LINC meetings to support three 3 transformational projects; quarterly review of employee engagement design recorded separately in merger integration/project risk register	Principal, Merger Director and Director of HR		
WWH/R/007	08/02/2024	Active	Financial	SG2-E	High impact disease for cohort is a flood fire building structure under threat; new pandemic	Outbreaks	ELT	4	5	20	High	Regular review of Business Continuity Plan and testing; Review estate condition as part of SIC Infrastructure Strategic and Performance Management Plan to 2024 once review estate condition survey is in place	2	4	12	Medium		Review of estate condition as part of SIC Infrastructure Strategic and Performance Management Plan to 2024 once review estate condition survey is in place	ELT/EP/Operations		
WWH/R/008	08/02/2024	Active	Organisational	IT Infrastructure Strategy	Institutional, personal and sensitive data and/or services are disrupted, corrupted, lost, stolen or released through malicious intent, human error or system failure (IT systems or data by internal users or external actors)	IT Security breaches internal or external	Principal, all Directors	4	5	20	High	Develop association with external IT security providers and software companies at all levels. Cyber Security compliance aligned with UHI. Snapshot Information Security and Compliance review to be conducted quarterly; Implement a mandatory information security training for all staff	2	4	12	Medium		Achieved Cyber Essentials Plus accreditation, working with UHI and partners, in February 2024; strategic engagement with new CEO and partners to review and update the IT security strategy to ensure a coordinated approach	ELT		
WWH/R/009	08/02/2024	Active	Financial	SG4	The merged college fails to meet student expectations for an enhanced and more equitable student experience	Failure to connect our learners across multiple locations as a single institution; Failure to provide learners with opportunities to engage with the merged college; move to more online delivery fails to create a sense of local community for students; failed to deliver a physical and digital infrastructure meeting the needs of our students	ELT	4	4	16	Medium	Ensure students are at the heart of key decision making and engagement; delivery of student engagement and support strategy	3	3	8	Medium		Signed memorandum of agreement with Your Student Association (YSA) in March 2024	Principal/VPA/AA		
WWH/R/010	08/02/2024	Active	Financial	SG5	Failure to realise the economic development potential of the merged college due to merger	Delay in forming an agile and responsive business development team; failure to identify opportunities to demonstrate the organisational capacity/expertise to explore strategic business development opportunities	ELT	4	4	16	Medium	Early formation of a new business development team; early identification of opportunities to demonstrate the organisational capacity/expertise to explore strategic business development opportunities via UHI, HE and other agencies in the region	3	4	12	Medium		Sign joint letter to paragraph 149 other colleges, industry representatives and businesses to ask SG to re-instate the Faculty of Business and Law (FBL) and to support the FBL to re-establish its FBL and TNC, show progress on business development strategy and business planning for major change programmes in Year 1	ELT/EP/Operations		
WWH/R/011	08/02/2024	Active	Organisational	SG2/People Strategy	Failure to attract, retain and develop the personnel; impacting organisational knowledge and capabilities to deliver the merged college's ambition	Loss of key staff from legacy colleges due to merger; failure to establish a trusted brand or rewards scheme which attracts talent; failure to invest in succession planning	ELT	3	5	15	Medium	Ensure full implementation of the college's people strategy, including recruitment, engagement and reward and recognition; support succession planning as part of organisational development and transformation	3	4	12	Medium		People strategy to be finalised, but focus is on achieving new personnel numbers and retention rates; review of staff related savings through vacancy management and VTS programme	ELT/Director of HR		

LIKELIHOOD CRITERIA**TIMESCALE 3 YEARS**

Score	Descriptor	Probability
5-Almost Certain	More than likely – the event is anticipated to occur	>80%
4-Likely	Fairly likely – the event will probably occur	61-80%
3-Possible	Possible – the event is expected to occur at some time	31-60%
2-Unlikely	Unlikely – the event could occur at some time	10-30%
1-Very Rare	Remote – the event may only occur in exceptional circumstances	<10%

IMPACT - CRITERIA
TIMESCALE 3 YEARS

Score	Descriptor	Financial	Operational	Reputational (need to link to communications process for incident management)
5 -Catastrophic	A disaster with the potential to lead to: <ul style="list-style-type: none">• loss of a major UHI partner• loss of major funding stream	> £500,000 or lead to likely loss of key partner	<ul style="list-style-type: none">• Likely loss of key partner, curriculum area or department• Litigation in progress• Severe student dissatisfaction• Serious quality issues/high failure rates/major delivery problems	<ul style="list-style-type: none">• 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.
4-Major	A critical event which threatens to lead to: <ul style="list-style-type: none">• major reduction in funding• major reduction in teaching/research capacity	£250,000 - £500,000 or lead to possible loss of partner	<ul style="list-style-type: none">• Possible loss of partner and litigation threatened• Major deterioration in quality/pass rates/delivery• Student dissatisfaction	<ul style="list-style-type: none">• 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.
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	<ul style="list-style-type: none">• General deterioration in quality/delivery but not persistent• Persistence of issue could lead to litigation• Students expressing concern	<ul style="list-style-type: none">• 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
2-Minor	An adverse event that can be accommodated with some management effort.	£10,000 - £50,000	<ul style="list-style-type: none">• Some quality/delivery issues occurring regularly• Raised by students but not considered major	<ul style="list-style-type: none">• Low media profile• Problem commented upon but credibility unaffected
1-Insignificant	An adverse event that can be accommodated through normal operating procedures.	<£10,000	<ul style="list-style-type: none">• Quality/delivery issue considered one-off• Raised by students but action in hand	<ul style="list-style-type: none">• No adverse publicity• Credibility unaffected and goes unnoticed

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

RISK MAP (for Gross risk & residual risk)

TIMESCALE 3 YEARS

IMPACT	5	10	15	20	25
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				

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

Risk Appetite Definitions

Classification
1 – Averse
2 - Minimalist
3 - Cautious
4 - Open
5- Hungry

Description
Avoidance of risk and uncertainty is a key organisational objective
Prepared to accept only the very lowest levels of risk, with the preference being for very safe decision-making and strategy
Willing to accept some low or modest risks, while maintaining and overall preference for safe delivery options that have a low degree of inherent risk, despite the probability that there is restricted potential for innovation and increased outcomes and benefits
Prepared to consider innovative decisions and strategic implementation and selecting those with the highest probability of productive outcomes and benefits, even where there are elevated levels of associated risk.
Proactively taking innovative/creative/pioneering decisions and adopting forms of strategic implementation, while accepting the associated substantial risk levels in order to secure highly successful outcomes and benefits

Risk and Assurance Framework (UHI common risk descriptor)

UHI Partnership Risk Number	Risk Status	Description
UHI 01	active	College does not achieve allocated HE student number targets.
UHI 02	active	College does not achieve allocated FE Credit targets.
UHI 03	active	The institution has a poor reputation.
UHI 04	active	Disruption to services/projects and/or partnership working resulting from loss of a key staff member.
UHI 05	active	Non-compliance with relevant statutory regulations.
UHI 06	active	Governance Failure.
UHI 07	active	Financial failure/operating loss. Inability to achieve a balanced budget.
UHI 08	active	College estate not fit for purpose.
UHI 09	active	Academic quality is sub standard
UHI 10	active	Poor Student Experience

UHI 11	active	Research outputs are sub standard
UHI 12	Active	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.
UHI 13	Active	Failure to act appropriately and timeously regarding progressing actions designed to achieve obligations to reduce emissions and to achieve net zero in the context of the climate emergency and in relation to all UHI activities and operations

ion, causes and impact statements)	
Causes	Impact
Failure to recruit sufficient students due to various factors such as: over ambitious PPF target, poor marketing, curriculum gaps, poor NSS results etc	loss of income with budget implications
Failure to recruit sufficient students due to various factors such as: over ambitious target, curriculum gaps, ineffective marketing and engagement with local schools/employers.	loss of income with budget implications
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
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. Brexit affecting EU staff's leave to remain, including Principal.	Projects delayed due to loss of continuity, corporate knowledge gaps and disruption/loss of established relationships and contacts. Loss of leadership/operating capacity in key areas.
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. 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.
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	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.	Potential cuts in centres/staff resulting in inability to maintain a viable curriculum offering with adequate student support, eventually leading to inability to recruit to targets and inability to maintain a sustainable organisation and viable business.
Lack of investment in capital maintenance/new capital project expenditure. Rapid growth of student population without investment in new expanded facilities.	Inability to deliver agreed 3 year curriculum plan; inability to deliver agreed estates development priorities; inability to deliver college's business plan for growth
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.
Poor college estate. Dispersed campus with limited facilities for social interaction. Technology failures. Limited teaching/library resources.	Poor performance in national student satisfaction surveys. Reputational damage. Impact on ability to recruit future cohorts. Risk to core income streams.

<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 with competitor organisations. Impact of Brexit on access to European projects.</p>	<p>Damage to reputation. Brexit. Poor performance in next REF. Inability to retain staff and research teams. Reduced income. Current EU funding secure for 16/17. Future Funding streams based in EU funding schemes at risk. Potential threat to continued existence of CRTR; threat to WHC research activity/profile and research-informed learning and teaching in outdoor and adventure tourism</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 £20M under new GDPR regulations. Adverse press coverage. Loss of confidence by regulators, stakeholders and HE sector. Ransomware encryption has been detected on UHI network.</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 profitability of investments. Following its declaration of 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. 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>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. 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>

UHI North, West and Hebrides Merger Implementation Risk Register

A separate risk register is maintained for:

Organisation Design Programme (in Sharepoint)

Key Responsible Officer: Director of Merger Implementation and Integration, Giles Huby

UHI North, West and Hebrides Opportunities

s Register

Opportunity Description

Establish strategic partnerships with industries and businesses for mutual financial benefits.

External Collaborations: Forge collaborations with external research institutions and industry partners.

Develop and promote course and student engagement programmes that encourage collaboration between campuses

