

UHI North, West and Hebrides STRATEGIC RISK REGISTER															ACTION PLAN						
Ref ID	Link to UHI Partnership Risk	Date Reviewed	Risk Status	Risk Category	Link to UHI North Strategic Goal/enabling statement	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
NWH/R/001	UJU/21/2024	Active	Financial	SG1/all enabling strategies	Failure to achieve financial sustainability	Failure to manage reductions in core and non-core income streams; failure to meet targets for FE and HE teaching activity; failure to secure income from fees and business development activities; failure to manage costs and operational efficiency, including digital, maintenance and net zero; failure to negotiate and secure terms which may reduce available core funding for the college;	Principal and ELT	5	5	15	High	5	Working with UHI and wider agencies to influence SG funding policy; secure sustainable funding discussions with the Scottish Government and other funding partners; increase non-core income from research and business development activities; manage costs and operational efficiency reductions as outlined in college financial management strategy; develop and implement a programme of estate/infrastructure and infrastructure strategy and plan; development of international strategy aligned with UHI and wider agencies to secure additional income streams.	5	4	20	High				
NWH/R/002	UJU/21/2024	Active	Financial	SG2/Curriculum Strategy	Failure to secure market demand for curricular offer	Inadequate market intelligence; insufficient marketing and sales; stakeholder engagement (clients, businesses, agencies, local government); insufficient staff capacity to develop new curricular products; insufficient budget to support curriculum development costs;	Principal and others	4	3	12	Medium	3	Review and planning; marketing and external engagement strategy; collaboration and alignment with UHI recruitment, marketing and curriculum review; engagement with local business, agencies and government to secure 'Interest' market; utilisation of sector initiatives (e.g. Sector Skills Councils) to support curriculum development.	3	3	3	Medium				
NWH/R/003	UJU/21/2024	Active	Governance	SG3-G	Failure to manage legal compliance with the full range of legal and public sector obligations	Volume and pace of compliance charges and obligations; staff capacity to undertake.	ELT	5	2	10	Medium	2	Compliance manager progressing this, with plans focused on the development of a compliance strategy and identification of compliance topics from which policy to date to address to.	5	2	20	Medium				
NWH/R/004	UJU/21/2024	Active	Financial	Estates and Infrastructure Strategy	There is a risk that the estate does not match the needs of our curricula, skills and research requirements	Volume and pace of compliance charges and obligations; staff capacity to undertake.	ELT	4	4	16	High	2	Continued engagement in CalMac place based initiative #E&I; staffing review being implemented to improve resource management across sites.	3	3	3	Medium				
NWH/R/005	UJU/21/2024	Active	Financial	SG3	Failure to create an environment in which research and ED can flourish	Loss of key research personnel impacting knowledge exchange capabilities; insufficient funding for research; limited resources; building research and knowledge exchange.	Principal, VP Ops, PD	4	3	12	Medium	3	Work closely with research staff on research capacity and development; engage with research partners on funding arrangements for grant capture and project performance; engage with research partners to enhance research capabilities and knowledge exchange; engage with research partners to support innovation grant funds in relation to ED exercise every year.	3	3	3	Medium				
NWH/R/006	UJU/21/2024	Active	Organisational	People	Effective employee relations through local and national channels are not secure taking account of staff	Lack of engagement locally and through Employees Association	Principal, Director HE	4	5	20	High	3	Regular regular trade union meetings highlighting impact on college finance. Regular Comm's with Staff. Ongoing representation of Employees Association (inquiries from staff).	3	4	12	Medium				
NWH/R/007	UJU/21/2024	Active	Financial	SG3-G	High impact disaster for college (e.g. flood, fire, building structure under threat; new pandemic)	Unforeseen	ELT	4	5	20	High	2	Regular review of Business Continuity Plan and testing. Review estate condition survey. Ensure insurance is in place.	3	4	12	Medium				
NWH/R/008	UJU/21/2024	Active	Organisational	IT Infrastructure Strategy	Information, personal and sensitive data and IT services are disrupted, compromised, lost, stolen or misused through serious inappropriate usage of IT systems or data by internal users or external actors.	IT Security breaches internal or external	Principal, all Directors	4	5	20	High	3	Ensure associated policies and procedures are understood and adhered to at all levels. Cyber Security compliance framework; regular review of IT systems and IT and Governance arrangements in place to secure information management; mandatory Information Security Training for all staff.	3	4	12	Medium				
NWH/R/009	UJU/21/2024	Active	Financial	SG4	The merged college fails to meet student expectations for an enhanced and more equitable student experience	Failure to deliver on student needs across multiple locations in a single community; failure to design enhanced learner services in a single location; failure to engage with the local and wider sense of local community for students; failure to deliver a physical and digital infrastructure meeting the needs of all	ELT	4	4	16	High	2	Ensure students are at the heart of key decision making and governance; delivery of student engagement and support strategy.	3	3	3	Medium				
NWH/R/010	UJU/21/2024	Active	Financial	SG5	Failure to realise the economic development, commercial and business development opportunities outlined in the merger business case, leading to loss of organisational capacity/expertise to appraise strategic business opportunities	Delay in forming an agile and responsive business development team; failure to identify and exploit opportunities for strategic business opportunities via UHI, HE and other agencies in the region.	ELT	4	4	16	High	3	Early formation of a new business development team; engagement with business development partners; strategic business opportunities via UHI, HE and other agencies in the region.	3	4	12	Medium				
NWH/R/011	UJU/21/2024	Active	Organisational	SG6/People Strategy	Failure to attract, retain or develop key personnel, including staff from legacy colleges, to support the organisational needs to deliver the merged college's ambition	Loss of key staff from legacy colleges due to merger; failure to engage with staff from legacy colleges when planning; intent; failure to invest in succession planning.	ELT	3	5	15	Medium	2	Ensure full implementation of the college people strategy; including recruitment, engagement and reward and recognition; succession planning as part of pre-implementation design and recruitment.	3	4	12	Medium				

**LIKELIHOOD CRITERIA****TIMESCALE 3 YEARS**

<b>Score</b>	<b>Descriptor</b>	<b>Probability</b>
<b>5-Almost Certain</b>	More than likely – the event is anticipated to occur	>80%
<b>4-Likely</b>	Fairly likely – the event will probably occur	61-80%
<b>3-Possible</b>	Possible – the event is expected to occur at some time	31-60%
<b>2-Unlikely</b>	Unlikely – the event could occur at some time	10-30%
<b>1-Very Rare</b>	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"><li>• loss of a major UHI partner</li><li>• loss of major funding stream</li></ul>	> £500,000 or lead to likely loss of key partner	<ul style="list-style-type: none"><li>• Likely loss of key partner, curriculum area or department</li><li>• Litigation in progress</li><li>• Severe student dissatisfaction</li><li>• Serious quality issues/high failure rates/major delivery problems</li></ul>	<ul style="list-style-type: none"><li>• Incident or event that could result in potentially long term damage to UHI's reputation. Strategy needed to manage the incident.</li><li>• Adverse national media coverage</li><li>• Credibility in marketplace and with stakeholders significantly undermined.</li></ul>
4-Major	A critical event which threatens to lead to: <ul style="list-style-type: none"><li>• major reduction in funding</li><li>• major reduction in teaching/research capacity</li></ul>	£250,000 - £500,000 or lead to possible loss of partner	<ul style="list-style-type: none"><li>• Possible loss of partner and litigation threatened</li><li>• Major deterioration in quality/pass rates/delivery</li><li>• Student dissatisfaction</li></ul>	<ul style="list-style-type: none"><li>• Incident/event that could result in limited medium – short term damage to UHI's reputation at local/regional level.</li><li>• Adverse local media coverage</li><li>• Credibility in marketplace/with stakeholders is affected.</li></ul>
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"><li>• General deterioration in quality/delivery but not persistent</li><li>• Persistence of issue could lead to litigation</li><li>• Students expressing concern</li></ul>	<ul style="list-style-type: none"><li>• An incident/event that could result in limited short term damage to UHI's reputation and limited to a local level.</li><li>• Criticism in sector or local press</li><li>• Credibility noted in sector only</li></ul>
2-Minor	An adverse event that can be accommodated with some management effort.	£10,000 - £50,000	<ul style="list-style-type: none"><li>• Some quality/delivery issues occurring regularly</li><li>• Raised by students but not considered major</li></ul>	<ul style="list-style-type: none"><li>• Low media profile</li><li>• Problem commented upon but credibility unaffected</li></ul>
1-Insignificant	An adverse event that can be accommodated through normal operating procedures.	<£10,000	<ul style="list-style-type: none"><li>• Quality/delivery issue considered one-off</li><li>• Raised by students but action in hand</li></ul>	<ul style="list-style-type: none"><li>• No adverse publicity</li><li>• Credibility unaffected and goes unnoticed</li></ul>

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

## RISK MAP (for Gross risk &amp; 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	Description
<b>1 – Averse</b>	Avoidance of risk and uncertainty is a key organisational objective
<b>2 - Minimalist</b>	Prepared to accept only the very lowest levels of risk, with the preference being for very safe decision-making and strategy
<b>3 - Cautious</b>	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
<b>4 - Open</b>	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.
<b>5- Hungry</b>	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 description, causes and impact statements)							
UHI Partnership Risk Number	Risk Status	Description	Causes	Impact	Link to UHI NWH Risk Register (to be confirmed once risk register approved by Board)		
UHI 01	active	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	loss of income with budget implications			
UHI 02	active	College does not achieve allocated FE Credit targets.	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			
UHI 03	active	The institution has a poor reputation.	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			
UHI 04	active	Disruption to services/projects and/or partnership working resulting from loss of a key staff member.	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.			
UHI 05	active	Non-compliance with relevant statutory regulations.	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.			
UHI 06	active	Governance Failure.	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			
UHI 07	active	Financial failure/operating loss, inability to achieve a balanced budget.	Increased pay costs (national bargaining), pensions and NI contributions. Efficiency savings are not achieved quickly enough to counteract reductions in income.	Potential cuts in central/affil resulting in inability to maintain a viable calendar offering with adequate student support, eventually leading to inability to recruit to targets and inability to maintain a sustainable organisation and viable business.			
UHI 08	active	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.	Inability to deliver agreed 3 year curriculum plan; inability to deliver agreed estates development priorities; inability to deliver college's business plan for growth			
UHI 09	active	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. 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.			
UHI 10	active	Poor Student Experience	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.			
UHI 11	active	Research outputs are sub standard	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. Current EU funding secure for 16/17. Future Funding streams based in EU funding schemes at risk. Potential threat to continued existence of CSTR; threat to WHC research activity/profile and research-informed learning and teaching in outdoor and adventure tourism			
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.	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. Increase in number of cyber attacks. 2005 attack on UK academic institutions up to 527 in 2015 – Javelin CSIRT. Increase in cyber attacks such as ransomware reported in national media.	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.			
UHI 13	Active	Failure to act appropriately and timely 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	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, international presence and the profitability of investments. Follow in 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 a further reduction of 50% by 2050. The UK 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.	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 2050. Storms will occur more often and be more intense leading to increased risk of flooding. 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.			

## **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

