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REGIONAL BOARD REPORT

BORDERS COLLEGE REGIONAL BOARD

Subject: Strategic Risk Register	**Purpose:** **For Approval** ☐ **For Discussion** ☒ **For Information** ☐
Prepared by: Hazel Robertson, VP Finance & Corporate Services	**Date:** 224 February 2022

Purpose: To present the current report on the Risk Register for review.

Linked to Strategic Ambition: Take a leading role in enabling an inclusive, resilient and sustainable Scotland

Performance Measures: Recognised as national leaders in sustainable practice

Linked to Strategic Risk Register: New Risk (outwith themes)

New Risk Commentary: Encompassing all risks

Executive Summary:

This report comprises updates the Board on the status of the risk register and our risk profile in relation to Student Experience, Organisational capacity /processes/ compliance and Financial risk.

Summary risk profile

Perspective	Risk theme	Target	Rating
Customer / Student	1a Delivery model - changes to political environment	6	6
	1b Alumni skilled, resilient and agile – impact of COVID	4	6
	1c Alumni skilled, resilient and agile – practice reflects need	6	6
Financial	2 Financial plan and in year targets	6	12
Internal process/ compliance	3a Integrated asset management	6	9
	3b Breakdown in internal controls	6	9
Organisational capacity	4a Motivated, engaged and capable staff	6	6
	4b Inadequate governance arrangements	2	2

Recommendation:
Members are asked to review the register and assurances provided, and endorse the current status of risks, actions and linked performance review, and to agree the addition of risk 4b governance arrangements.

Previous Committee Approvals:
Curriculum and Quality, Audit, Finance & General Purposes Committees

For publication ☒	**For publication with redactions** ☐	**Not for publication** ☐

REPORT ON THE FEBRUARY 2022 RISK REGISTER

High risks

The finance risk remains a high risk at 12. Financial planning assumptions for 2022/23 were expected to become clearer after the Scottish Government Budget was announced on 9 December 2021. We are advised that this will now not be known until mid March. It has been indicated that we should anticipate flat cash based on 2021/22 allocations. Further clarity is being sought through the College Principals Group and the Finance Directors Network. This is essential in order to inform our savings requirements and our planning approach for next year. Consideration of scenarios is well underway. We are engaging directly with SFC in relation to our financial outlook.

New risks

Following the first round of committee and Board meetings, there were a number of reports which were unable to be allocated to a risk theme. Several of these related either to all risk themes or could be seen as being related to our governance processes. Risk 4b has been added for your consideration.

Changes to risk profile

There are three changes in the risk profile:

Student experience

- Increase in COVID impact (risk 1b) to 6, which remains a medium risk. The recent change in language from Scottish Government around hybrid working is enabling more on campus activity.

Finance

- Reduction in finance risk (risk 2) from 16 to 12. Scenario planning on least pessimistic and most pessimistic scenarios provide options for achieving a break even position in 2022/23 although the position still holds a lot of risk in relation to potential pay increases.

Compliance / internal processes

- New risk in relation to potential inadequacy of governance arrangements, scored at 2 which is low.

Assurance on changes made

Notable progress on actions (marked in red type on the register)

	Delegated to	Update
1a	Board	Addition of political lobbying for growth and fair funding
1a 2	Board F&GP	SFC budget to be known by mid March Scenario planning has been undertaken although significant risk remains in relation to current and future pay awards.
1b	C&Q	More courses moved online pre Christmas Additional hours for skills tests Further CPD for curriculum managers in the use of ProSolutions
1c	C&Q	Extended time for familiarisation with ProSolutions, CPD arranged Confidence in achieving credit position but Foundation Apprentice target not met.
2	F&GP	Intend to use margin analysis to inform budgeting and planning for next year, and link with asset management strategy, particularly use of space and requirement for investment. Seven asset strategy workshops completed, one more to take place. Reprofiling capital plan and in process of reconfirming receipt with SFC. Finance KPIs generally favourable. SFC placing significant emphasis on surplus cash balances and we have reduced our holding at end Feb to 21 days, this will be kept under review.
3a	Audit	Slight delay in DP assurance framework, we have a new DPO who is working with line managers to progress. Cyber security insurance obtained.
3b	Audit	Procedure changes may be restricted by lack of functionality in SUN accounts – replacement solution being scoped.
4a	F&GP	Extension of GPTW confirmed. H&S annual report provided assurances to Board, escalation process in place for SPDR reviews. Scenario planning exercise completed in relation to loss of significant levels of staffing, actions implemented.
4b	Board	New risk for approval by the Board

Not specifically referenced in the risk register, we have had very positive feedback from our Education Scotland review.

KPI performance

KPI performance has been incorporated where available and meaningful. This has been useful in informing the action updates.

Strategic Risk Management Report

10 Feb 2022

Strategic Risk Management Report

	Strategic ambition performance measures	Strategic Risk Theme	Scrutiny	Perspective	Target	Rating 10 Feb 22	Rating 01 Dec 22
1a	Recognised leader in sustainable practice; influential and collaborative partner; recocgnised nationally as progressive organisation; delivery models are personalised focus on individual and business need	Major changes / opportunities in socio political environment	Board	Customer	TREAT (6)	6	6
1b	Alumni skilled, resilient and agile; student outcomes in the top quartile; engaged and empowered student body; student satisfaction in the top quartile	Profound impact of COVID19 on delivery and student achievement	Curriculum & Quality	Customer	TOLERATE (4)	6	4
1c	Alumni skilled, resilient and agile; student outcomes in the top quartile; engaged and empowered student body; student satisfaction in the top quartile	Ability to proactively engage with our community and stakeholders to ensure our practice reflects their needs	Curriculum & Quality	Customer	TREAT (6)	9	9
2	Financial plan and in year financial targets to be met	Long term variability in spend and /or insufficiency in income streams leading to financial instability	Finance & GP	Financial	TREAT (6)	12	16
3a	Integrated asset management - maximise technology deployment	Inadequate IT and information management and security leading to information breach, excess costs and service unavailability	Audit	Organisational	TREAT (6)	9	9
3b	Compliance with financial regulations	Potential breakdown in internal financial controls leading to loss of funds / excess costs / fraud	Audit	Organisational	TREAT (6)	9	9
4a	Agile and creative staff body; engaged and empowered staff body; staff satisfaction in the top quartile	Staff are not motivated, engaged or capable	Finance & GP	Organisational	TREAT (4)	6	6
4b	We will continue to be recognised nationally as a progressive organisation; the successful delivery of our Strategic Ambition and the long term sustainability of the organisation.	Governance arrangements do not meet best practice governance standard	Board	Organisational	TOLERATE (2)	2	

Customer perspective (external partners)

1 Major changes / opportunities in socio political environment		10/02/2022		
Positive uncertainty – opportunity	Negative uncertainty – threat			
Significant funding / resources available from partnerships	Lack of clarity regarding future funding			
Partnership and driving value for money	Potential changes in priority areas			
Major changes in political environment eg Brexit, new Scottish or UK government, independence	Uncontrolled variability in funding streams			
	Tertiary sustainability (SFC review)			
Existing controls	Planned activity	**Responsible**	**Date**	**Update**
Liaise strategically with funding bodies eg SOSE, Borderlands, City Deal, Community Renewal Fund	Work with interested college/university partners	Execs	Jul-22	CRF funding approved, and an extension to end June
Political lobbying for growth and fair funding	Principal meeting with and writing to political figures	Principal	Jan-22	Letters re growth and funding sent.
Liaise with policy forum - Principals Group, Colleges Scotland, SFC	Diversifying funding streams	SLT	Jul-22	SG budget published 9/12, SFC expected March
Developing customer relationships	Investing in future products and delivery models to weather storm of changing priorities	SLT	Jul-22	Investing in CRM to support engagement processes
Performance measures	Tolerance level			**Current position**
Apprenticeship starts up 33%	+/- 5% of contract level			Update for end 1st quarter
Increased funding from varied sources	Not meeting budget			Update for end 1st quarter
Employer satisfaction 100%	Not meeting non SFC target			No change
Advancement of service delivery in priority areas	Drop in employer satisfaction			Update for end 1st quarter

Owner	Scrutiny	Impact	Likelihood	
Angela Cox	Board	3	2	
		Overall score (as is)	6	No change
		Strategy and appetite	TREAT (6)	

Customer perspective (Covid19 impact)

1b Profound impact of COVID19 on delivery and student achievement				10/02/2022
Positive uncertainty – opportunity	Negative uncertainty – threat			
Beyond level zero - flexibility for online and on campus	High level of concern at national level - may need to reduce activity			More courses moved to online delivery prior to Christmas
Expect the average to be 2 days in college and one online	potential disruption due to isolation and illness of staff			
Lecturing staff ability and desire to redesign	Uncontrolled variability in funding streams			
Received funding to cover Covid costs	Low number of deferrals - 500 credits at risk due to deferrals - nothing else to add			
Existing controls	Planned activity	**Responsible**	**Date**	**Progress**
Apprentices will add missed activity into this year	Additional hours and proposal to SQA for skills tests for missed evidence from VQ	APs	ongoing	staff absences mean practical activity was stepped down and rescheduled - recoverable
Effective use of timetabling	Use of new MIS offers greater planning and tracking and monitoring functionality	APs	Mar-22	further CPD for curriculum managers, simplification of timetabling process, best practice for assessment schedule to be shared
Management of staffing	Contingency planning for material levels of absence	SLT	Jan-22	mid way through the process
Performance measures	Tolerance level			**Current position**
number of deferrals	No COVID deferrals into 2022/23			Impact on construction apprentices anticipated, approach this year is more targetted, less risk, govt concern re winter period growing in concern

Owner	Scrutiny	Impact	Likelihood
Heather Anderson	Curriculum and Quality	2	3
		Overall score (as is)	6
		Strategy and appetite	TOLERATE (4)

Higher likelihood - with winter concerns

Customer perspective (learners)

1c Ability to proactively engage with our community and stakeholders to ensure our practice reflects their needs		10/02/2022		
Positive uncertainty – opportunity	Negative uncertainty – threat	**Current position**		
Learners are enrolled to target in appropriate courses and success rates are high	If positive outcomes are not achieved, successful destinations will not be achieved, and Education Scotland Grade could be impacted	FTFE recruitment lower than target. Overall recruitment in lie with plan. Negotiation with SFC more credits		
Wrap around support requirements are met	Complaints due to expectations not met			
Hierarchy of needs met - funding, support and safety	Uncontrolled variability in funding streams			
BCSA to provide vibrant community	Travel difficulties preventing engagement			
Assisted technologies provided to improve engagement	Poor connectivity, multiple people in home - inappropriate learning envirnonment - home or schools			
Collaborate with local providers of support				
Further develop MH support - with local orgs	Non attendance			
Existing controls	Planned activity	Responsible	Date	Current position
Curriculum planning and marketing	Investment in elearning and quality standards for delivery, closer alignment to Skills needs	AP Q&D	Jul-22	new quality manager in post (3 weeks). Quality standards for eLearning
Support through achievement coaches, course tutors, CLMs	Use tracking and monitoring through prosolution	CLMs	Jan-21	extended to allow familiarisation with MIS - interdependent on timetables/ room booking. CPD planned for CLMs in January.
Responsive support services - Student Support, MH, Student Finance,	Promote service management approach	VPF&CS	Jun-22	Project scoping due to commence before end of calandar year
Student experience committee	3 times a year meet, and implement action plan	APs & HoSS	ongoing	
Campus Management Committee/Sustainability committee	BCSA to co chair a workstream on behaviour	BCSA President	ongoing	
Feedback mechanisms - local, BCSA, national	Equalities, Enhancement plan, application and enrolment procedure	APs	ongoing	4 year equalities plan in place, strong progress, report to c&QC
Quality check points	Implement action plan	APs	ongoing	Quality check points under review to link with wider quality processes
Student support services pastoral and finance, MH service	Mental Health action plan	H of SS	Jul-22	On track
BCSA support , MH Agreement with SA	Recruitment to MH team	H of SS	Complete	
Performance measures	Tolerance level			**Current position**
% of students with positive destinations	less than 85%			KPI informatipn will be provided to the Board in the new format
Retention rates	decreasing trend and /or less than national average			Early withdrawal higher than predicted which is impacting on credits
Student progress	decreasing trend and /or less than national average			KPI informatipn will be provided to the Board in the new format
Student retention	decreasing trend and /or less than national average			KPI informatipn will be provided to the Board in the new format
Student satisfaction	decreasing trend and /or less than national average			KPI informatipn will be provided to the Board in the new format
Credits used	less than 95% of allocation			Some risk to credit achievement (including ESF), Extemdomg jubrod wprlomg amd learning should assist.
Quality of LTA				
Student survey - 50 % response rate	decreasing trend and / or less than national averae			
OA measures	decreasing trends			
Equality measures	achievable targets not met			

Owner	Scrutiny	Impact	Likelihood
Heather Anderson	C&Q Committee	3	3
		Overall score (as is)	9
		Strategy and appetite	TREAT (6)

No change

Financial perspective (financial stability)

2 Long term variability in spend and /or insufficiency in income streams leading to financial instability		10/02/2022		
Positive uncertainty – opportunity	Negative uncertainty – threat			
Maximise opportunities for commercial funding	Loss of funding streams, insufficient income to deliver			
Bid for project funding to lever major changes in College capacity	National bargaining drives pay costs upwards without matched funding			
Additional in year allocations to advance College service provision	Uncontrolled variability in funding streams			
	No growth in SFC main grant in aid			
COVID19 restrictions ease such that excess spend reduces and commercial and community delivery can resume	Return to variable grant in aid income may result in threat to financial performance			
Existing controls	Planned activity	Responsible	Date	**Current position**
3 year financial plan through FFR	Integrated planning approach	VPF&CS	Mar 22	Prepared - clarity required from SFC. This should be known by mid March 2022
Savings targets	Model impact of scenarios	VPF&CS	Mar 22	Scenario planning is well underway. We are having direct engagement with the SFC finance team.
Budgetary control and management accounts system	Push out to 5 year plan	VPF&CS	Feb 22	Intend to use margin analysis to inform modelling. Pushed out to February to link with asset management planning activity.
Treasury management of debtors creditors and cash	Refresh KPIs and implement targets for P2P	AP Finance	Oct 21	Transformation programme has started. New approach to payment runs has been implemented. See mproved performance below.
Capital funding	Retain capital receipt - agree with SFC	VPF&CS	Complete	Reprofing capital profile and will reconfirm with SFC.
Performance measures	Tolerance level			**Current position**
Variance from budget	5%			(0.9%), some cost pressures eg teaching supplies and catering provision, possible successful VAT gain. Some income risk. Overall close to target this year and assessing least and most pessimistic scenarios.
% non SFC income	less than 15%			23%. Credit income posted on cash profile to be based on ach
Staff costs as % of total costs	less than 67%			66%.
Cash days	less than 31 days			21 days February 2022 - previous high holding of student support cash has been reduced by slowing draw down. Core cash remains acceptable level.
Creditor payment days	increasing trend within 30 days			Remains around 57% - best performance in seven years
% savings delivered	less than 75% achievement			budgets take account of savings requirement, as above some concerns re cost pressures and possible VAT income benefit would offset.

Owner	Scrutiny	Impact	Likelihood	
Hazel Robertson	F&GP Committee	3	4	
		Overall score (as is)	12	no change largely due to SFC income uncertainty
		Strategy and appetite	TREAT (6)	

Internal process perspective (information management)

3a Inadequate IT and information management and security leading to information breach, excess costs and service unavailability		10/02/2022		
Positive uncertainty – opportunity	**Negative uncertainty – threat**			
Good information and data management supports day to day delivery and data analytics will lead to improved decision making and service delivery	Breaches of Data Protection – loss of information, potential regulatory action and reputational damage			
Strong IT services and provision will enable efficient working practices and enable remote working	Cyber attack - complete loss of data and service			
Existing controls	**Planned activity**	**Responsible**	**Date**	**Progress**
Article 30 register, Privacy notices, Data Sharing Agreements, DP Impact Assessments, FOI Policy and Publication Scheme	Review FOI publication scheme and DP Policy	VPF&CS	Mar 22	All completed
	Promote retention and destruction action plans	VPF&CS	Feb 22	DP Assurance Framework agreed, 50% of returns received. DPO working with SLT members to progress improvements
Data analytics - stage of development	Develop and Implement action plan for deployment of analytics	Head of MIS	Jun 22	not yet due
Cyber Acreditation, Cyber Technical Risk Assessment, Information Security Policy, Electronic Systems Policy	Complete implementation of action plan from CTRA	Head of ISLT	Sep 21	Complete. Additionally acccreditation renewed.
	Move to datavita backup as a service, and disaster recovery as a service	Head of ISLT	Oct 21	Complete
	Implement O365 backup	Head of ISLT		Complete
	Implement cyber security insurance	Head of ISLT		Complete
	Relaunch of IT Services function	Head of ISLT	Mar 22	Part of Phase 2 DTP, delayed due to ongoing dispute
Performance measures	**Tolerance level**			**Current position**
Positive audit outcomes	no high risk issues			audit complete, no high risks
IT Service performance reporting	no high impact business continuity issues			no high impact issues
DP events	no more than 5 data events annually			1 complaint received via ICO
Maturity of data analytics	Assessed availability of data to service managers			some issues with use of prosolutions, additional support in place for curriculum staff

Owner	Scrutiny	Impact	3
Hazel Robertson	Audit Committee	3	3
		Overall score (as is)	9
		Strategy and appetite	TREAT (6)

no change

Internal process perspective (internal financial controls)

3b Potential breakdown in internal financial controls leading to loss of funds / excess costs / fraud		10/02/2022		
Positive uncertainty – opportunity	**Negative uncertainty – threat**			
Strong and efficient internal financial controls will improve efficiency and effectiveness, and deliver value for money	Weak or missing internal financial controls may not prevent or detect attempts at fraud			
Effective management of senior finance capacity wiil enable redesign and improvements in processing, thus reducing rework and enabling good financial control	Workload pressure may cause capacity constraints for process redesign, reviewing financial position, analysis and projections			
Existing controls	**Uncontrolled variability in funding streams**	**Responsible**	**Date**	**Progress**
Financial Regulations, Finance Manual, Anti Fraud and Anti Bribery Policies, Procurement Policy, Fee Policy, Internal Audit	Complete review of finance procedures, prioritise purchase ledger and fixed assets, if workload demands are too high	AP Finance	Sep 22	Audit Committee have approved an extension of date to September 22, system change - being scoped.
	Improved fixed asset management	FBP	Mar 22	Register reviewed to reflect new accounting policy
Internal and External audit recommendations	Ensure completion of audit action points, prioritising fixed asset controls and impairment	VP F&CS	Jul 22	Full review will be presented to the Audit Committee in November
Performance measures	**Tolerance level**			**Current position**
Positive audit outcomes	only low risk IA issues - 2 significant derficincies in external audit - priority to address			No high risk issues in internal audit, one significant external audit
Material delay in implementing audit action plan	Both longstanding signficant deficiencies to be clear for 2021/22			Historical issues being addressed
Serious breach of financial regulations	no reported issues			no reported issues

Owner	Scrutiny	Impact	Likelihood	
Hazel Robertson	Audit Committee	3	3	
		Overall score (as is)	9	no change
		Strategy and appetite	TREAT (6)	

Organisational capacity perspective (staffing)

4 Staff are not motivated, engaged or capable		10/02/2022		
Positive uncertainty – opportunity	Negative uncertainty – threat			
Continuing to gather and use engagement info through GPTW	Not being able to attract the right individuals			
Wellbeing and mental health initiatives	Insufficent HR staff to support recruitment			
Covid impact on turnover	Covid impact on turnover			
Increasing access to funding for training posts MAs/interns	Over reliance on short term posts could destabilise			
Funding for suitable training	Is training meeting our needs			
National bargaining paying rates above average for region	Results delayed so long - staff uncertain about outcomes			
Existing controls	Planned activity	**Responsible**	**Date**	**Current position**
HR policies and procedures, HR Manual	Monitoring of KPIs	Head of HR	ongoing	review is ongoing, KPIs annual
Workforce strategy	Annual review of performance against measures	Head of HR	May-22	F&GP asked for a different report so this was not required for September - moved to May 22
GPTW	Extension for 3 years, action plan in response, 2 areas of concern	Head of HR	Feb-22	extension complete - action plan coming to next SLT
NJNC involvement	Involvement in national pay and grading group	Head of HR		ongoing including t&c's group, policy working group and 4 day week investigation group
JCCP and local NJNC, Wellbeing Group	Informal meetings staff side, Principal and Head of HR	Principal	ongoing	
H&S Committee	Agile workstation assessmenets, all training up to date	H&S Manager	Dec-21	Annual report to Board provided assurance
F&GP oversight	Report to every meeting	Head of HR	ongoing	Next meeting is February
SPDR reviews - interim and annual	100% target - monitor through dashboard	WLT	as per plan	not on dashboard but escalation process implemented and will be raised at SLT if any issues arise
Staff contingency arrangements	Consideration of scenarios for loss of staff due to pandemic flu, Temporary arrangements to cover critical staff absence or recruitment challenges.	IMT	Jan-22	Completed a scenario planning exercise and identified additional control measures to adopt if required. Action complete
Performance measures	Tolerance level			
KPIs - turnover, sickness	turnover > 7%, absence > 10%			
Staff satisfaction	reduction of 2%			
GPTW survey and action plan	Actions not completed by end of reference period			
Completion rate Agile	less than 100%			
Completion rate SPDR	less than 100%			
Performance measures from workforce strategy	Actions not completed by end of reference period			

Owner	Scrutiny	Impact	Likelihood
Debbie Kerr	F&GP Committee	2	3
		Overall score (as is)	6
		Strategy and appetite	TREAT (4)

Organisational capacity perspective (inadequate governance arrangements)

4 Staff are not motivated, engaged or capable		10/02/2022	
Positive uncertainty – opportunity	Negative uncertainty – threat		
Brings a wider expertise - options	Not a balanced view		
Staff and students have assurance	Ineffective engagement of non executives		
Positive reputation	Executives dominate conversation		
Can rely on committee assurance	Not being provided with enough (or too much info)		
Right information at right time will enhance decision making	Unable to gain assurance		
Confident and collaborative dialogue	Members do not comply with code of governance		
Workplan for efficient and effective working	Inability to recruit		
Attend committees to gain information	Not given advice on options available		
Existing controls	Planned activity	Responsible	Date
Standing orders	Governance admin review	Board Sec	Mar-22
Code of conduct	Development and enhancement plan	Board Sec	Jul-22
External evaluation			
Self evaluation			
Appraisals of members			
Board Secretary report to Board			
Board Secretary - independent			
Performance measures	Tolerance level		
External evaluation	Weak outcome		
Internal audit	Weak outcome		
Self evaluation	material drop in ranks		

Owner	Scrutiny	Impact	Likelihood
Ingrid Ogilvie	Board	1	2
		Overall score (as is)	2
		Strategy and appetite	TOLERATE (2)

Impact assessment

Perspective	Element	Negligibile	Minor	Moderate	Major	Extreme
Customer (External)	**Inspection / Audit**	Small number of recommendations - minor quality improvement	Recommendations which can be addressed by low level of management action	Challenging recommendations which can be addressed with appropriate action plan	Enforcement action, low rating. Critical report	Prosecution, zero rating, severely critical report.
	Reputation	Rumours, no media coverage, little impact on staff morale	Local press, little impact on morale and public perception	Local media coverage. Long term adverse publicity. Significant effect on staff morale and public perception	National media coverage less than three days. Public confidence undermined. Use of services affected	National media coverage > 3 days. MSP/MP concern (questions in Parliament), pubic enquiry, enforcement
Customer (learners)	**Business interuption**	Interuption in a service which does not affect delivery of educational services	Short term interuption which has minor impact on educational delivery	Some disruption with unacceptable impact on educational delivery. Temporary loss of ability to provide services.	Sustained loss of service which has serious impact on ability to delivery educational services, resulting in major contingency plans being invoked.	Permanent loss of core service or delivery. Disruption to services causing significant knock on effect
	Student experience	Reduced quality of student experience/outcome directly due to curriculum delivery	Unsatisfactory student experience / outcome - readily resolvable	Unsatisfactory student experience / outcome - resolvable within xxx time	Unsatisfactory student experience / outcome - resolvable within xxx time	Unsatisfactory student experience / outcome - long term impact
	Complaints	Locally resolved verbal complaint	Justified written complaint	Justified complaint involving lack of professionalism	Multiple justified complaints	Complex justified complaints
Financial	**Financial**	Negligibile <£1k	Minor >£1k to £10k	Significant >£10k to £50k	Major >£50k to £100k	Over £100k
Internal process	**Objectives / Project**	Barely noticeable impact on scope, quality or schedule	Minor reduction in scope, quality or schedule	Reduction in scope, quality or schedule	Significant project overrun / reduction in quality	Inability to meet project objectives / impact on reputation
	Injury to student/ staff / visitors	Adverse event not requiring first aid	Minor injury/illness requiring first aid	Agency reportable	Long term incapacity requiring medical treatment or counselling	Death or major permanent incapcity
Organisational capacity	**Staffing**	Short term low staffing levels temporarily affecting service quality	Ongoing low staffing level reducing service quality. Minor error due to ineffective training	Late delivery of objectives due to lack of staff. Moderate error due to ineffective training.	Uncertain delivery of objectives due to lack of staff. Major error due to ineffective training	Non delivery of key objective due to lack of staff. Loss of key staff and inability to recruit. Critical error due to ineffective training.

Likelihood assessment

	Rare	Unlikely	Possible	Likely	Almost certain
Probability	Cant believe this event would ever happen - will only happen in exceptional circumstances	Not expected to happen but definite possibility exists - unlikely to occurr	May occurr occasionally - has happened before on occasions - reasonable chance of occuring	Strong possibility that this could occurr - likely to occur	This is expected to occur frequently - more likely to occur than not

Risk Rating

Rating

Impact /Likelihood	Negligible	Minor	Moderate	Major	Extreme
Almost certain	5	10	15	20	25
Likely	4	8	12	16	20
Possible	3	6	9	12	15
Unikely	2	4	6	8	10
Rare	1	2	3	4	5