



CORPORATE POLICY AND PROCEDURES FRAMEWORK

Risk Management Policy and Procedures

1.0 Purpose

This policy and procedures details and communicates the College's approach to risk management and evaluation of internal controls.

2.0 Policy

Jewel & Esk College will effectively manage risk, taking all reasonable practicable steps to ensure the protection of staff, students and assets.

3.0 Scope

- 3.1 This Risk Management policy forms part of the College's internal control and Corporate Governance arrangements.
- 3.2 The policy explains the College's underlying approach to risk management, and details the roles and responsibilities of the Board of Governors, the Senior Management Team, and other key parties.
- 3.3 The policy outlines key aspects of the risk management process, and identifies the main reporting procedures.
- 3.4 This policy details the process that the Board of Governors will use to evaluate the effectiveness of the College's internal control procedures.
- 3.5 Risk management identifies and manages the risks that threaten the ability of the college to meet its objectives. The College will identify, monitor and aim to eliminate the range of threats to its activities, understand where we have vulnerabilities, and develop cost effective counter measures. These risks may be strategic, operational or financial.
- 3.6 This policy should be read in conjunction with the College Equality and Diversity Policy and Procedures and its Disability, Race and Gender Equality Schemes.

4.0 Responsibilities

- 4.1 The Chair of the Board of Governors, the Chief Executive, and the Board of Governors have the responsibility for overseeing risk management within the College.

- 4.2 The Principal and the Senior Executive Team have the responsibility to support, and implement policies approved by the Board of Governors.
- 4.3 The Director of Finance, as a representative of the Risk Management Group, is responsible for the construction and maintenance of a risk register which makes conservative and prudent recognition and disclosure of the financial and non-financial implications of risks.
- 4.4 College Management Team members are responsible for producing and reviewing subsidiary risk registers detailing the top risks in their area of operations. This includes implementation of the management of these risks.
- 4.5 College Managers are responsible for encouraging and embedding good risk management practice within their area of activity.
- 4.6 The Risk Management Group (RMG), a sub committee of the Audit Committee, is responsible for assessing the top risks facing the College and developing strategies to manage that risk and reporting progress to the Audit Committee.
- 4.7 All staff are responsible for encouraging and embedding good risk management practice within their area of activity.

5.0 General Principles

5.1 Role of the Board of Governors

The Board of Governors has a fundamental role to play in the management of risk. Its role is to:

- provide the authority and responsibility for the establishment, maintenance, support and evaluation of the Risk Management Policy;
- set the tone and influence the culture of risk management within the College;
- delegate the overall implementation of risk management to the Senior Executive Team;
- know about the most significant risks facing the organisation.

5.2 Role of the Senior Executive Team

- Implementation of the Risk Management Strategy.
- Overall co-ordination of risk management.
- Promotion of a holistic approach to risk management.
- Report risks to the Risk Management Group.
- Ensure appropriate levels of awareness throughout the organisation.

5.3 Role of the College Management Team

- Co-ordinating and ensuring that the operational objectives are implemented in line with the Risk Management strategy.
- Be aware of risks which fall into their area of responsibility, the possible impacts these have, and monitor outcomes against the risks identified ensuring that procedure notes detail corrective action to minimise risk.

- Report systematically and promptly to senior management of any perceived new risks or failures of existing control measures.
- Report on current 'active' risks highlighting mitigating actions and effect towards risk reduction.

5.4 Role of Internal Audit

- Ensuring the effectiveness of organisational and financial control systems, including monitoring performance against quality assurance standards.

5.5 Role of Audit Committee

- To review new risks or failures of existing control measures
- To review the 'probability' and 'impact' scoring on a regular basis.
- To review the adequacy of internal control systems designed to minimise risk.
- To receive the reports from the Risk Management Group and make appropriate recommendations to the College's Senior Executive Team, which will effectively improve systems of control.

5.6 Role of the Risk Management Group

- To identify from the Risk Register the top risks faced by the College.
- To regularly review the 'probability' and 'impact' of the top risks and report progress to the Audit Committee.
- To review reports of the Senior Executive Team and College Management Team.

5.7 Role of College Staff

- Understand their accountability for individual risks.
- Understand how they can enable continuous improvement of risk management and risk awareness.
- Report systematically and promptly to a member of the College Management Team or Senior Management Team any perceived new risks or failures of existing control measures.

6.0 Implementation of Risk Management

6.1 Development of a range of Policy and Procedures within themed frameworks to ensure corporate risks are managed in an efficient and sustainable manner.

6.2 The adoption of common terminology in relation to the definition of risks and risk management.

6.3 The establishment of college-wide criteria for the measurement of risk, linking the threats to their potential impact and the likelihood of their occurrence together with a sensitivity analysis, impacted by mitigating actions.

6.4 A decision on the level of risk to be accepted, together with tolerance levels expressed in terms of measurable outcomes.

6.5 A decision on the level of risk to be covered by insurance.

- 6.6 Detailed regular review at faculty or section level to identify significant risks associated with the achievement of key objectives.
- 6.7 Development of risk management and mitigating plans for all significant risks, to include a designated “risk owner” who will be responsible and accountable for managing the risk in question.
- 6.8 The Audit Committee’s Risk Management Group (RMG) will consist of one member of the Audit Committee, one member of the Senior Executive Team and other members of staff as appropriate.
- 6.9 Outcomes of risk management activities will be reported by the CMT to the Director of Finance (as a member of the RMG) twice per year (January and June).
- 6.10 Reporting by the RMG and the Senior Executive Team to the Audit Committee and the Board of Governors of the top risks faced by the College, will follow the twice-yearly reporting by the CMT to the Director of Finance.
- 6.11 An annual report of the operation of the policy, management of risk and top risks faced by the College will be made to the Board of Governors in June.
- 6.12 Key risk indicators will be identified and closely monitored on a regular basis.
- 6.13 Risk Management arrangements will be reviewed on a regular basis.

7.0 Register of Risk

- 7.1 The College risk register and the top risks are attached as Appendix 1 and 2 respectively.
- 7.2 The rankings shown on the risk register range from one (1) to five (5) against each criteria of probability and impact. The probability is shown as ‘net’ and the impact shown as ‘gross’. The probability and impact scoring is multiplied together to provide the risk factor.

	<u>Low</u>		<u>High</u>
Probability (net)	1	⇒	5
Impact (gross)	1	⇒	5
Risk Factor	=		Probability x Impact

- 7.3 The risk factor will be classified as High, Medium or Low Risk.

(H) High	⇒	16 - 25
(M) Medium	⇒	11 - 15
(L) Low	⇒	1 - 10

8.0 Measurement for Risk Management

- 8.1 The measurement process should be used to periodically report the status and impact of operational risks. The measurement process provides the raw information that

allows Directors and Managers to be 'proactive' rather than 'reactive' in managing any impact during operational activity.

- 8.2 Risk measurement provides Directors and Managers with a mechanism to extract data from risk areas, and compile useful information in order to monitor and control the risks that affect them.
- 8.3 Within the measurement process, the information needs for risk, become the requirements for the measurement process.
- 8.4 The manager's information need is for a risk investigation progress or status update. In order to prevent a risk investigation, the information of the risk should be measured and some basic values calculated.
- 8.5 Types of measures and suggested methods of measurement:

Measure	Method
Risks being investigated	Number of risks with active status
Risk investigation cost	Actual cost for active risks
Active risks by impact	Estimated level of impact
Schedule days for active risks	Number of days effort for active risks
Total effect	Operational outcome

- 8.6 Appendix 3 is the required form for completion by Managers. This should be completed twice-yearly (January and June), see paragraph 6.

9.0 Review

- 9.1 This policy will be reviewed every 3 years or whenever Corporate Governance changes affect any part of it.

RISK REGISTER

OWNER : DIRECTOR OF CAMPUS REDEVELOPMENT
MANAGER: HEAD OF FACILITIES

1-10 Facilities	32-35 Reputation	48 Faculties
11-26 HR	36-41 Corporate	49-52 Communities
27-31 ICT	42-47 Financial	

No	Group	Title or Description	Effect	Owner	Manager	Probab ility	Impact	Risk Factor	Risk Range	Risk Reduction/ Elimination	Action for Risk Occurring
1	Facilities	Total loss of Building – Milton Road or Eskbank	Major business interruption affecting staff and students loss of income.	Director of Campus Redevelop- ment	Head of Facilities Management	1	5	5	L	Identify alternative spare capacity in other college centre, local authority and community buildings. Agreed links to be set up with relevant 'neighbours' in the education and local government field with reciprocal arrangements for business continuity.	
2	Facilities	Loss of Eskbank Computer Room	Major business interruption affecting staff and students loss of income.	Director of Campus Redevelop- ment	Head of Facilities Management	1	5	5	L	Identify alternative spare capacity in other college centre, local authority and community buildings. Agreed links to be set up with relevant 'neighbours' in the education and local government field with reciprocal arrangements for business continuity.	
3	Facilities	Loss of power supply to Milton Road or Eskbank	Major business interruption affecting staff and students loss of income.	Director of Campus Redevelop- ment	Head of Facilities Management	1	5	5	L	Identify alternative spare capacity in other college centre, local authority and community buildings. Agreed links to be set up with relevant 'neighbours' in the education and local government field with reciprocal arrangements for business continuity.	
4	Facilities	Failure of water supply – Milton Road or Eskbank	Major business interruption affecting staff and students loss of income.	Director of Campus Redevelop- ment	Head of Facilities Management	1	5	5	L	Identify alternative spare capacity in other college centre, local authority and community buildings. Agreed links to be set up with relevant 'neighbours' in the education and local government field with reciprocal arrangements for business continuity.	
5	Facilities	Failure of gas supply – Milton Road or Eskbank	Major business interruption affecting staff and students loss of income.	Director of Campus Redevelop- ment	Head of Facilities Management	1	5	5	L	Identify alternative spare capacity in other college centre, local authority and community buildings. Agreed links to be set up with relevant 'neighbours' in the education and local government field with reciprocal arrangements	

No	Group	Title or Description	Effect	Owner	Manager	Probability	Impact	Risk Factor	Risk Range	Risk Reduction/ Elimination	Action for Risk Occurring
										for business continuity.	
6	Facilities	Failure of heating - - Milton Road or Eskbank	Major business interruption affecting staff and students loss of income.	Director of Campus Redevelopment	Head of Facilities Management	1	5	5	L	Identify alternative spare capacity in other college centre, local authority and community buildings. Agreed links to be set up with relevant 'neighbours' in the education and local government field with reciprocal arrangements for business continuity.	
7	Facilities	Break in at Milton Road	Depends on equipment etc – stolen/destroyed.	Director of Campus Redevelopment	Head of Facilities Management	3	3	9	L	Risk low – 24 hrs security in place – increase cameras. CCTV upgraded.	
8	Facilities	Break in at Eskbank	Depends on equipment etc - stolen/destroyed.	Director of Campus Redevelopment	Head of Facilities Management	3	3	9	L	Contract security firm to do regular visits. Intruder detectors to be fitted and CCTV upgraded.	
9	Facilities	Loss / damage to telephone exchange.	Business Interruption.	Director of Campus Redevelopment	Head of Facilities Management	1	4	4	L	Depends on fault. However, system can be looped – Eskbank – Milton Road.	
10	Facilities	Unauthorised access to premises (whilst occupied).	Depends on why in college.	Director of Campus Redevelopment	Head of Facilities Management	4	2	8	L	All staff to be vigilant and if they become aware of unauthorised visitors, staff should challenge them if they feel safe/confident to do so, and report them immediately to janitorial or reception staff.	
11	HR	Damage or loss of "key personnel documents".	Disruption to college operation may delay essential building works etc.	Director of Human Resources	HR Business Partner	1	4	4	L	Ensure adequate security systems in place. Increase level of electronic storage and back up.	Access backup.
12	HR	Loss of Key senior staff.	College becomes weak in leadership and vision is lost, albeit temporarily. Disruption in operation.	Principal and Board Chair	Director of Human Resources	4	4	16	H	Recruitment consultants appointed for three year period speeds recruitment.	Use agency staff as an interim step.
13	HR	Loss of team	Could be major e.g. everybody leaves as the result of a lottery win.	Director of Human Resources	HR Business Partner	1	3	3	L	If necessary appoint agency staff to undertake work, temporarily upgrade existing member of staff, ensure HR have procedures in place where staff advertisements etc can be placed timeously.	Effective recruitment policies and procedures.

No	Group	Title or Description	Effect	Owner	Manager	Probability	Impact	Risk Factor	Risk Range	Risk Reduction/ Elimination	Action for Risk Occurring
14	HR	Ultra Vires decision	If court action taken could severely impact on College reputation and finances.	Director of Human Resources	HR Business Partner	1	3	3	L	Require to be vigilant and ensure legal advice sought when required. Ensure adequate policies and procedures in place.	Consider disciplinary and PR implications.
15	HR	Member of staff bullied or discriminated against	May lead to disciplinary action and dismissal of offending member of staff thereby impacting on more than one area of the College's operation.	Director of Human Resources	HR Business Partner	2	3	6	L	Through staff development and training develop a culture negating such risk. Policy in place to cater for such occurrences. Succession planning required.	
16	HR	Temporary loss of team due to illness	Disruption to College operation.	Director of Human Resources	HR Business Partner	1	3	3	L	Outsource if other staff unable to step into breach.	
17	HR	Employees perceive jobs as having low esteem	Staff might leave and may be difficult to replace.	Director of Human Resources	HR Business Partner	2	3	6	L	Management require to value all staff and develop culture whereby staff are made aware that their efforts and commitment are appreciated and noted.	Replace leavers.
18	HR	Poor staff communications	Lack of morale and support from members of staff.	Director of Human Resources	HR Business Partner	1	3	3	L	Continue to develop and enhance internal communication process. Carry out regular internal communication survey.	
19	HR	Member of staff suffers illness through stress at work.	If court action taken could severely impact on College reputation and finances.	Director of Human Resources	HR Business Partner	1	4	4	L	Through staff development and training develop a culture negating such risk. HR drop-in, grievance process, counselling service.	Occupational health consultants.
20	HR	College unable to recruit appropriate staff	Disruption to College operation.	Director of Human Resources	HR Business Partner	2	4	8	L	By being the best a culture will develop whereby staff will wish to be associated with the College.	Cover with other staff/agency/ collaborative working.
21	HR	Failure to implement new HR system	Legal requirement to keep records.	Director of Human Resources	HR Business Partner	1	3	3	L	Project Plan.	
22	HR	Flu pandemic	Disruption to college operation	Director of Human Resources	HR Business Partner	1	5	5	L	Business continuity plan.	
23	HR	Impact of losing key staff through new	Impact on ability to deliver project	Director of Human	HR Business Partner	2	4	8	L	Shared delivery of project plan through Design Team and	

No	Group	Title or Description	Effect	Owner	Manager	Probability	Impact	Risk Factor	Risk Range	Risk Reduction/ Elimination	Action for Risk Occurring
		build	as per project plan	Resources						SET.	
24	HR	Morale of staff during the transitional period of new build	Adverse impact on employee relations and delivery of high quality learning and teaching	Director of Human Resources	HR Business Partner	3	3	9	L	Maintain high level of internal two way communications and involvement	
25	HR	Industrial Action	Reduction in operational service	Director of Human Resources	HR Business Partner	1	3	3	L	Maintain good local industrial relations	
26	HR/ Financial	Loss of payroll system	Delay in staff salary payments, staff dissatisfied.	Director of Human Resources	HR Business Partner	1	1	1	L	Currently outsourced Staff can be paid based on previous month's earnings by BACS or cheque.	
27	ICT	Failure of hardware	1 Local service loss 2 Peripheral service loss 3 Core service loss	Chief Executive	Network Manager	4 3 2	1 2 3	4 6 6	L L L	Business Continuity Planning	For all - replace with spare/activate warranty
28	ICT	Failure of software	1 Local service loss 2 Peripheral service loss 3 Core service loss	Chief Executive	Network Manager	4 3 2	1 2 3	4 6 6	L L L	Business Continuity Planning	1 Evaluate and restore within 7 days 2 Evaluate and restore within 48 hours 3 Evaluate and restore within 24 hours
29	ICT	Failure of connectivity	1 Local service loss 2 Peripheral service loss 3 Core service loss 4 External loss	Chief Executive	Network Manager	1 2 2 1	2 3 4 5	2 6 8 5	L L L L	Business Continuity Planning	1 Evaluate and restore within 7 days 2 Evaluate and restore within 48 hrs 3 Evaluate and restore within 24 hrs 4 Liaise with Edinburgh University
30	ICT	Loss of data	1 Local mgt impairment 2 Peripheral mgt impairment 3 Core mgt impairment	Chief Executive	Network Manager	3 2 1	1 2 3	3 4 3	L L L	Business Continuity Planning	1 Backup procedure invoked 2 Backup procedure invoked 3 Backup procedure invoked
31	ICT	Poor performance	1 Hardware below standard 2 Software below standard 3 Connectivity below standard 4 Service below standard	Chief Executive	Network Manager	4 3 2 2	1 3 3 2	4 9 6 4	L L L L	Business Continuity Planning	1 Replace within 12 months 2 Evaluate within 1 month 3 Evaluate within 2 weeks 4 Implement action plan/2 weeks

No	Group	Title or Description	Effect	Owner	Manager	Probability	Impact	Risk Factor	Risk Range	Risk Reduction/ Elimination	Action for Risk Occurring
			5 Development below standard			2	2	4	L		5 implement action plan/2 weeks
32	Reputation	Unauthorised information released, communication resulting in slander/libel against college.	Loss of credibility – political damage.	Chief Executive	SET	3	2	6	L	Clear communication policy. Clear checking and understood procedures. Press and PR consultants retained.	Develop PR response.
33	Reputation	Confidential information accidentally falls into wrong hands.	Lack of integrity.	Chief Executive	Director of Human Resources	1	1	1	L	Keep little confidential info – Data Protection Act policy. - Freedom of Information Act scheme of publication.	
34	Reputation	Poor perception of college within community and business.	Reduced Student numbers, Financial income reduced, capital investment reduced	Chief Executive	SET	2	5	10	L	Focused marketing strategy. Good student support service. Strong business and local community links.	Additional marketing activity.
35	Reputation	Giving wrong / poor advice / information	Loss of credibility.	Chief Executive	SET	4	1	4	L	Clear procedures, checking of information prior to publication.	Public Relations exercise.
36	Corporate	Change to core activities – driven internally	Loss of students. Incorrect profile. Loss of income, reduced investment.	Depute Principal	Faculty Heads	1	4	4	L	Curriculum Delivery Plan. Market Research Business Liaison	
37	Corporate	Non-Compliance to Health and Safety regulations	Loss of good reputation negative effect on services offered. Possible litigation.	Chief Executive	Director of Campus Redevelopment	2	4	8	L	Regular Health & Safety assessments and inspection visits. Compliance to regulations. Clear policies and procedures, this includes work placements.	
38	Corporate	Complaints	Unresolved MSPs letters.	Chief Executive	SET	4	1	4	L	Policy in place Communication strategy.	Swift responses.
39	Corporate	Perceived inefficiency within College	Low value for money.	Chief Executive	Director of Finance	2	1	2	L	Audit, procurement, benchmarking policies and procedures in place.	
40	Corporate	Change of political direction	Withdrawal or reduced level of funding.	Chief Executive	SET	1	4	4	L	Membership of Association of Scotland's Colleges.	
41	Corporate	Disruption to college by the new build	Potential loss of courses, specialist facilities, student	Depute Principal	Faculty Heads	3	5	15	M	Detailed planning of phasing of campus redevelopment and detailed contingency planning.	

No	Group	Title or Description	Effect	Owner	Manager	Probability	Impact	Risk Factor	Risk Range	Risk Reduction/ Elimination	Action for Risk Occurring
			groups, income. Reduction in quality of student expertise.								
42	Financial	Major Financial fraud resulting in loss of funds	Insufficient cash to pay staff and creditors, drop in staff morale, drop in staff productivity,	Director of Finance	Finance Manager	3	4	12	M	Clear segregation of duties and checks. Procedures robust, internal audit assurance.	Advise Principal and carry out investigation and report thereon. Inform Chair of Board, internal auditors and SFC. Implement solution to negate further opportunities for committing same type of fraud. Request temporary financial support from SFC if required, and/or increase temporary bank overdraft limit to enable payments to be made.
43	Financial	Weak internal financial control	Late payment of creditor invoices, debts not collected timeously high debt write-off. Cashflow problems. Poor customer relationships. Contravention of Late Payment of Commercial Debt Act. Cashier updating sales ledger.	Director of Finance	Finance Manager	3	4	1 2	M	Clear segregation of duties, staff awareness training, clear checking procedure, internal audit assurance. Robust debt management and payment procedures. Cash-flow monitoring.	Review current policy and procedure and update where necessary. Review internal performance and improve financial control. Provide additional staff training if required. Following changes, arrange for internal audit to identify internal control strengths and weaknesses.
44	Financial	Audit ineffective due to overuse of discretion by auditors	Internal financial control weaknesses not highlighted, therefore corrective action not known. Possibility of fraud.	Director of Finance	Finance Manager	1	5	5	L	Auditors work independently from operational Finance, with clear reporting channels to senior management and the Board.	Review current internal audit service and raise issues with Partner in charge. Re-tender internal audit service.
45	Financial	Failure to complete / publish report & accounts.	Loss of College credibility, College financial position not known.	Finance Director	Finance Manager	1	3	3	L	Timetable and staff responsibility checklist made up in advance. Regular progress meetings.	Identify reason for delay and agree new timescales. Advise Principal and Board and inform external auditors. Review skills of current staff and realign work tasks, request assistance from external firm of accountants.

No	Group	Title or Description	Effect	Owner	Manager	Probability	Impact	Risk Factor	Risk Range	Risk Reduction/ Elimination	Action for Risk Occurring
46	Financial	Loss of sums activity, through lack of student numbers	Reduced income Negative effect on financial strategy and curriculum plan.	Depute Principal	Faculty Heads	2	4	8	L	Focused marketing strategy. Strong business and local community links.	
47	Financial	Loss of major business contract	Reduced income Negative effect on financial strategy.	Depute Principal	Faculty Heads	4	3	12	M	Planning reduction in contract income. Continually sourcing new contract work.	
48	Faculties	Work placements not compliant with H&S regulations and Public and Employer insurance	College becomes liable	Chief Executive	Head of Faculty	1	5	5	L	Policy and procedure in place for certificating compliance by employers. Individual contracts issued for each work placement as it is populated. Management Contract with Chamber of Commerce.	
49	Communities	Challenging behaviour by students to a member of staff	May lead to disciplinary action and expulsion of offending student/ return to school. Negative impact on staff morale and college culture	Depute Principal	Student Services Co-ordinators/ Community Relations Manager	2	2	4	L	Ensure that code of conduct is explained and reinforced at regular intervals.	
50	Communities	Challenging behaviour by students towards other studentsf	May lead to disciplinary action and expulsion of offending student/ return to school. Negative impact on staff morale and college culture	Depute Principal	Student Services Co-ordinators/ Community Relations Manager	4	2	8	M	Ensure that code of conduct is explained and reinforced at regular intervals.	
51	Communities	Personal safety of staff working on outreach	Negative impact on staff morale	Depute Principal	Community Relations Manager	1	5	5	L	Ensure staff are aware of, and follow, procedures.	
52	Communities	Clawback of ESF funds	Dependent on scale of project and widening of audit if nature of 'overclaim' warrants	Director of Finance	Community Relations Manager	2	2	4	L	Ensure all relevant records are retained.	

RISK REGISTER – CAMPUS PROJECT DECANT YEAR

JUNE 2007

No	Group	Title or Description	Effect	Owner	Manager	Probability	Impact	Risk Factor	Risk Range	Risk Reduction/ Elimination	Action for risk occurring
1	Curriculum	Overall depression of suitable full-time course applicants	Loss of WSUMs and fee waiver	Depute Principal	Heads of Faculty	4	5	20	H	<ul style="list-style-type: none"> Marketing plan to be prepared to maximise alternative modes of delivery. Monitor closely for trend analysis. Targeted marketing, incl.existing students. Maintain close contact pre-enrolment, including use of Edutxt. High level of early intervention if numbers slip. Prepare a co-ordinated plan for evening class delivery. 	<ul style="list-style-type: none"> Change the curriculum. Take a pragmatic view of enrolment to maximise numbers by turning fewer people away. Review travel plan. Resources for evening classes semester two courses and other modes of delivery. Consider incentives to promote student retention. Early intervention to support students likely to leave early.
2	Corporate	Disruption to college by the new build	Potential loss of courses, specialist facilities, student groups, and income. Reduction in quality of student experience	Chief Exec.	Depute Principal	3	5	15	M	Detailed planning of campus redevelopment and detailed contingency planning.	<ul style="list-style-type: none"> Enact the individual elements of the contingency planning as required. Careful monitoring should underpin swift decisions and good communications.
3	IT	Failure of the system to cope with total demand at Eskbank	IT systems temporarily interrupted or complete network failure	Chief Exec.	Network Services Manager	4	5	20	H	<ul style="list-style-type: none"> Network has contingency plan and offers early warning notices to all staff. Staff have contingency learning and teaching plans that do not rely on ICT. Support staff have contingency plans to maintain information and communications systems. Contingency funds identified. 	<ul style="list-style-type: none"> Contingency plan enacted by Network Services to restore operations or at least alert staff to use alternative communications or delivery methods. Staff make alternative arrangements for necessary communications and learning and teaching delivery.
4	Estates	Insufficient parking space	No parking for staff or students, particularly those arriving at off-peak times	Director of campus development	Head of Campus Operations	5	4	20	H	<ul style="list-style-type: none"> Publicise local parking options off campus. Travel plan strategy developed. Info. for students to carry warning of parking issues and alternatives. Car-sharing plans for staff, and for students at induction. 	<ul style="list-style-type: none"> Identified priority parking spaces for particular groups of students. Contract buses timetable adjusted to offer a service at off-peak times as required, linked to park-and-ride arrangements.

No	Group	Title or Description	Effect	Owner	Manager	Probability	Impact	Risk Factor	Risk Range	Risk Reduction/ Elimination	Action for risk occurring
5	Estates	Major breakdown of the lift	People with mobility difficulties stuck on upper floors of the tower block	Director of Campus Redevelopment	Head of Campus Operations	3	5	15	M	<ul style="list-style-type: none"> Personal emergency evacuation plans to be prepared for all students with physical difficulties. Identification and training of appropriate staff as required. Fire wardens identified and suitably trained. Lift passes introduced. 	Identified staff to remove people stranded on upper floors under the direction of the Estates manager.
6	Curriculum	Unsatisfactory accommodation and services for students	Poor student Experience	SET	CMT	3	4	12	M	Maintain customer focus and be prepared to commit additional resources as required and according to contingency plan.	<ul style="list-style-type: none"> Continuous evaluation of student experience across faculties. Maintain high level of communications across the organisation.
7	HR	Unsatisfactory accommodation and services for staff	Poor staff experience	SET	Director of HR	3	4	12	M	<ul style="list-style-type: none"> Change management and customer care training Effective communication at all levels Supportive culture Transport plan 	<ul style="list-style-type: none"> Weekly operational meetings to get feedback Review the transport plan
8	Estates	Temporary accommodation not ready	Inadequate accommodation for classes	Director of Campus Development	Head of Campus Operations	2	4	8	L	Contract with binding terms for builders.	Delay start of the new session.

