

Risk Owners should identify and enter risks into the "Risk Data Tab"

The Heat Map and Dashboard do not need to be updated.

For guidance on the scoring of risks, please refer to the tables below and/or speak to the Acting Registrar and Secretary.

The information below derives from the policy currently in place for the Estates Division. This is being adapted to form the University policy.

Scoring of Likelihood of Occurrence (% chance of occurrence within the next 12 months)

1. Rare	2. Unlikely	3. Possible	4. Likely	5. Certain
< 10%	>10% < 20%	>20% <40%	>40% < 80%	>80%
Can't believe that this will ever happen	Outside chance of occurrence, but not likely	Could occur occasionally	Will probably occur in the near future	Has occurred/ Is occurring/ Will occur imminently

Scoring of Impact

Impact	Health, Safety & Compliance with Statutory requirements	People and culture	Resources, Infrastructure & Business continuity	Reputation	Financial Viability	Environmental impact
Insignificant (1)	Minimal injury requiring no/minimal intervention or treatment. No time off work required.	Poor staff satisfaction survey results or, Staff shortages with little impact on service delivery.	Some disruption to services and service users or, Little effect on achieving organisational objective/s	Minimal damage to reputation (minimal coverage in local press)	Monetary loss of £5,000 - £10,000	Minor environmental impact
Minor (2)	Minor injury requiring first aid treatment (e.g. cuts, bruises). Requiring time off work for < 3 days. Breach leading to internal disciplinary/sanctions (not requiring external reporting).	Very poor staff satisfaction survey results Staff shortages affecting service delivery to a single area	Partial failure to achieve organisational objective	Some complaints regarding service provision	Monetary loss of £10,000 to £100,000	Moderate environmental impact
Moderate (3)	Semi-permanent injury/damage lasting up to 1 year or, An over 7day staff injury reportable under RIDDOR or, Breach leading to external reporting required and potential external sanctions.	Unsafe staffing level or competence affecting service delivery (>1day) Low staff morale Poor staff attendance for mandatory/key training	Significant impact on achieving organisational objectives Late delivery of key objective/ service	Significant volumes of complaints	Monetary loss of £100,000 to £750,000	Serious environmental impact
Major (4)	Permanent and/or multiple injuries. Requiring time off work > 20 days. Breach leading to significant likelihood of external sanctions with legal implications.	Unsafe staffing level or competence affecting service delivery (>5 days) Loss of key staff Very low staff morale No staff attendance for mandatory/key training	Major disruption to services and service users	Adverse local or national media coverage lasting < 3 days.	Monetary loss of between £750,000 and £1,500,000	Major impact on environment Service
Catastrophic (5)	Fatality or, Breach leading to prosecution that could lead to imprisonment, severe fines or closure of significant assets/activities.	Requires resignation of senior manager/management or, loss of all qualified staff	Severe disruption/failure of services for longer than 7 days or, Non delivery of organisational objectives	Adverse International or national publicity > 3 days. Loss of confidence in the Division	Monetary loss > £1,500,000	Disastrous environmental impact

Risk Matrix

Impact \ Likelihood	1) Insignificant	2) Minor	3) Moderate	4) Major	5) Catastrophic
5) Certain	5	10	15	20	25
4) Likely	4	8	12	16	20
3) Possible	3	6	9	12	15
2) Unlikely	2	4	6	8	10
1) Rare	1	2	3	4	5

Risk tolerances based on a 5x5 matrix of Likelihood verses Impact where the resultant residual risk ratings are identified as follows;

- 1 – 5 = Low risk (Green)
- 6 – 10 = Medium risk (Yellow)
- 12 - 15 = High risk (Amber)
- 16 - 25 Critical (Red)

Definition underpinning Risk Scores

Risk Score 16 - 25	<p>Immediate notification to relevant SMT line manager to determine the required senior management action required to control risk.</p> <p>Notify the Health Safety and Risk Manager so the Estates and Facilities Risk Register can be updated.</p> <p>Responsible SMT member to escalate to the Estates and Facilities Senior Management Team to consider if risk is acceptable or determine appropriate action.</p> <p>Monitor any action taken to ensure it has been effective in reducing the risk to an acceptable level (so far as is reasonably practicable).</p> <p>To be reviewed and updated monthly.</p> <p>If the high risk is posed to staff undertaking a task then a halt to the tasks must be considered as an immediate control measure.</p>
Risk Score 12 - 15	<p>Notification to relevant SMT line manager to determine the required senior management action required to control risk within 2 days.</p> <p>Notify the Health Safety and Risk Manager so the Estates and Facilities Risk Register can be updated.</p> <p>Responsible SMT member to escalate to the Estates and Facilities Senior Management Team to consider if risk is acceptable or determine appropriate action.</p> <p>Monitor any action taken to ensure it has been effective in reducing the risk to an acceptable level (so far as is reasonably practicable).</p> <p>To be reviewed and updated at least every 3 months.</p> <p>If the high risk is posed to staff undertaking a task then a halt to the tasks must be considered as an immediate control measure.</p>
Risk Score 6 - 10	<p>Management action required to control risk as soon as reasonably practicable.</p> <p>Notify the Health Safety and Risk Manager to update the Estates and Facilities Risk Register.</p> <p>Monitor any action taken to ensure it has been effective in reducing the risk.</p> <p>May necessitate bids for funding.</p> <p>To be reviewed and updated at least every 6 months.</p>
Risk Score 1 - 5	<p>Head of Department may accept risk. Manage by routine procedures.</p> <p>Any costs to be funded within Department.</p> <p>To be reviewed and updated at least annually.</p>