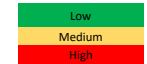


Risk Assessment



Area: Resources- Electronic Date: 16.06.22 Assessment number: Rees/E/R1-3

Staff responsible: Prinicpal (with Bur & REG) Review Date: 16.06.23

Task: **MAINTENANCE OF ELECTRONIC RESOURCES**

| Risk Number | Risk Description | Effects/ Impact on | Existing controls | Risk Rating | | | Further action required/ action plan | By Whom | Date | Cross reference categories | Risk with Mitigation | Update |
|-------------|--|--|---|-------------|----------------|------------|--|----------------|------------|----------------------------|----------------------|--------|
| | | | | Impact (I) | Likelihood (L) | Rating | | | | | | |
| 1 | Failure to maintain appropriate IT/ electronic equipment | Staff, students, patients - effects on efficiency of the clinic and educational business operation | IT Service Plan, annual review of equipment & annual budget. Server back up. | Medium (3) | Unlikely (1) | Low(3) | | | | | Low | |
| 2 | Failure to maintain & manage website | Staff, students, patients - effects on efficiency of the clinic and educational business operation | Identified staff to internally monitor the website Quarry House and F1 Digital, server back up. | Medium (3) | Possible (2) | Medium (6) | updates re OFS & new programme | | | | Medium | |
| 3 | Failure to have adequate electronic continuity plans | Staff, students, patients - effects on efficiency of the clinic and educational business operation | Insurance - business continuity, IT Service Plan; server back-up | Medium (3) | Possible (2) | Medium (6) | Purchase additional back up equipment in conjunction with IT consultants | Prinicpal +BoG | April 2022 | SP/SO522 | Medium | |

Risk Assessment

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|--------|
| Low |
| Medium |
| High |

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|------|-----------|------|----------|-------------------|------------|
| Area | Buildings | Date | 16.06.22 | Assessment number | Res/B/R1-2 |
|------|-----------|------|----------|-------------------|------------|

| | | | |
|-------------------|--------|-------------|----------|
| Staff responsible | Bursar | Review Date | 16.06.23 |
|-------------------|--------|-------------|----------|

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|------|--|
| Task | MAINTENANCE OF BUILDING RESOURCES |
|------|--|

| Risk Number | Risk Description | Effects/ Impact on | Existing controls | Risk Rating | | | Further action required/ action plan | By Whom | Date | Cross reference categories | Risk with Mitigation | Update |
|-------------|---|---|---|-------------|----------------|----------|--|---------|---|----------------------------|----------------------|--|
| | | | | Impact (I) | Likelihood (L) | Rating | | | | | | |
| 1 | Failure to provide / maintain College owned buildings | Staff, students, patients - effects on efficiency and the attractiveness of the of the clinic and educational business to current and potential new clients. | Annual budget for maintenance and repair, Insurance(s), | Medium (3) | Unlikely (1) | Low(3) | None | | | | Low | |
| 2 | Failure to maintain and manage leases and contracts | Staff, students, patients - effects on the ability of the business to function. | Long leases, annual monitoring and review of status, standing agenda items at BoG & SMT. Overview by Bursar/Pr & BoG | Medium (3) | Unlikely (1) | Low(3) | | | | | Low | |
| 3 | Failure to provide adequate Clinical space to meet cohort numbers | Staff, students, patients - effects the ability of the College to recruit students and patients to maintain our services in clinic and recruit students to our courses. This ultimately affects College business. | Monitoring of student numbers and space availability Long-term lease agreements & or own property. Infrastructure WG reviewing future space need options as part of Strategic and Business Plan (21 -26) | High (4) | Possible (2) | High (8) | Staged outcomes and actions from the Infrastructure WG | IS WG | 2021 -22 with 3x yearly feedback to BoG | | Medium | Option for lease renewal in discussion Option for property purchase (parameters agreed for WG to explore) Medium due to Covid Impact |
| 4 | Failure to provide adequate teaching space to meet cohort numbers | Staff, students, patients - effects the ability of the College to recruit students and patients to maintain our services in clinic and recruit students to our courses. This ultimately affects College business. | Monitoring of student numbers and space availability Long-term lease agreements & or own property. Infrastructure WG reviewing future space need options as part of Strategic and Business Plan (21 -26) | High (4) | Possible (2) | High (8) | Staged outcomes and actions from the Infrastructure WG | | 2021 -22 with 3x yearly feedback to BoG | | Medium | Option for lease renewal in discussion Option for property purchase (parameters agreed for WG to explore) Medium due to Covid Impact |

Risk Assessment

Area: Human Date: 16.06.22 Assessment number: Res/Hu/R1 - 3

Staff responsible: HoE/ CDC/CIC & REG Review Date: 16.06.23

Task: MAINTENANCE OF HUMAN RESOURCES



| Risk Number | Risk Description | Effects/ Impact on | Existing controls | Risk Rating | | | Further action required/ action plan | By Whom | Date | Cross reference categories | Risk with Mitigation | Update |
|-------------|---|--|---|-------------|----------------|------------|---|----------------|-------------|----------------------------|----------------------|--------|
| | | | | Impact (I) | Likelihood (L) | Rating | | | | | | |
| 1 | Failure to maintain adequate /appropriately trained staff academic & clinical staff | The ability to deliver the programme, staff the clinic and ultimately run the business | Appraisal system, Staff Development, remuneration, peer reviews, HR consultants, external audit processes | High (4) | Unlikely (1) | Medium (4) | Complete 2nd round of new appraisal system (Clinicians) | Clinical Leads | Feb-22 | | Medium | |
| 2 | Failure to maintain appropriate & adequate management & governance staff | The ability to manage the programme, the staff the clinic and ultimately the business | Appraisal system, Staff Development, remuneration, peer reviews, HR consultants, external audit processes | High (4) | Possible (2) | High (8) | Monitor Governance action (New committee structure.) | Governors | x4 per year | | Medium | |
| 3 | Failure to maintain adequate /appropriately trained support staff. | The ability to provide the staff support needed to deliver the programme, staff the clinic and ultimately run the business | Appraisal system, Staff Development, remuneration, peer reviews, HR consultants, external audit processes | Medium (3) | Possible (2) | Medium (6) | Monitor effectiveness of new JD roles. | SMT | Jul-22 | | Low | |

Risk Assessment

Area: Specialist Date: 16.06.22 Assessment number: Res/Sp/R1 -3

Staff responsible: HoE/ CDC & CIC Review Date: 16.06.23

Task: MAINTENANCE OF SPECIALIST RESOURCES



| Risk Number | Risk Description | Effects/ Impact on | Existing controls | Risk Rating | | | Further action required/ action plan | By Whom | Date | Cross reference categories | Risk with Mitigation | Update |
|-------------|---|--|--|-------------|----------------|------------|--|--------------------------|---------|----------------------------------|----------------------|--------|
| | | | | Impact (I) | Likelihood (L) | Rating | | | | | | |
| 1 | Failure to maintain adequate access to specialist physical resources e.g books, plinths, models | Quality of the delivery, H&S attractiveness of the programme to current and future students. Staff and patients in the clinic. RQ, validation, course status and ultimately the business | H&S compliance /consultants, annual audit of resources - books/ plinths/ models, annual budget for resources. | Medium (3) | Possible (2) | Medium (6) | None | | | | Low | |
| 2 | Failure to maintain adequate access to specialist human resources e.g human models & patients | Quality of the delivery, attractiveness of the programme to current and future students. Staff and patients in the clinic. RQ, validation, course status and ultimately the business | Staff JD responsibilities, marketing budget/plan & monitoring of patients. Use of local networks & media including the website. Monthly monitoring of patient numbers. Maintenance of human model resource-base using remuneration or free-treatment as appropriate. | High (4) | Possible (2) | High (8) | None | | | | Low | |
| 3 | Failure to manage and maintain adequate specialist health consumables e.g daily clinic consumables. | Quality of the delivery, health & safety of staff students and the public. RQ, validation, course status and ultimately the business continuity | Staff JDs & responsibilities, annual budgeting, weekly monitoring, H&S consultant monitoring & reports. | High (4) | Unlikely (1) | Medium (4) | Ongoing monitoring of covid infection control and RA's based on Government, Public Health England and professional guidance. | Clinical manager and SMT | Ongoing | Cross ref to specific covid RA's | Medium | |