

**DRAFT Risk Assessments 2023 -24 (References, Managers and Committees)**

PEOPLE	Risk Reference Number	Manager(s)	Responsible Committee
Closure of institution (SPP)	P/Stu/R1+ P/Pat/R1	P	Gov
Withdrawal or non-renewal of validation (SPP)	P/Stu/R2	HoE	CSC & Gov
Loss of RQ (SPP)	P/Stu/R3	P	CSC & Gov
Breach of Professional and Educational Standards (SPP)	P/Stu/R4	P	CSC
Inability to deliver material components of the course (SPP)	P/Stu/R5	Reg	CSC & FSC & Gov
Failure to update the programme content/ regs or policies (SPP)	P/Stu/R6	HoE	CSC
Campus closure or service reduction (SPP)	P/Stu/R7 & P/Pat/R1	P	Gov & FSC
Closure of intake, specific site or campus (SPP)	P/Stu/R8	P	Gov & FSC
Safety failure - Injury physical or psychological (patients)	P/Pat/R2	CoM	Gov
Failure to safeguard data (patients)	P/Pat/R3	CoM	Gov
Compliance failure - Insurance cover / HR Processes	P/sta/R1	Bur/P	CSC
Governance & Management Failings	P Sta/R2	P	Gov
<b>EXTERNAL AGENTS</b>			
Failure to obtain appropriate 'validation' from external auditing agents i.e. University, OFS, GOsC, external examiners	EA/R1	P	CSC
Failure to obtain quality outsources e.g for IT, CRB checks	EA R2	Reg/Bur	CSC & GSC
<b>RESOURCES</b>			
Failure to maintain appropriate IT equipment	Res/EI/R1	P/ Bur	FSC & GSC
Failure to maintain & manage website	Res/EI/R2	Reg	FSC & GSC
Failure to have adequate electronic continuity plans	Res/EI/R3	P	FSC & GSC
Failure to provide / maintain College owned buildings	Res/B/R1	P/Bur	FSC & GSC
Failure to maintain and manage leases and contracts	Res/B/R2	P/Bur	FSC & GSC
Failure to provide adequate clinical space	Res/B/R3	Bur/CoM	FSC & GSC
Failure to provide adequate teaching space	Res/B/R4	P/Bur	FSC & GSC
Failure to maintain adequate /appropriately trained academic & clinical staff	Res/Hu/R1	HoE/CoM	CSC
Failure to maintain appropriate & adequate management & governance staff	Res/Hu/R2	P	GSC
Failure to maintain adequate /appropriately trained support staff.	Res/Hu/R3	Reg	FSC & GSC
Failure to maintain adequate access to specialist physical resources e.g books, plinths, models	Res/Sp/R1	HoE/CoM	FSC & GSC
Failure to maintain adequate access to specialist human resources e.g human models & patients	Res/Sp/R2	HoE/CoM	FSC & GSC
Failure to manage and maintain adequate specialist health consumables e.g daily clinic consumables to meet regulatory	Res/Sp/R3	CoM	FSC & GSC
<b>HEALTH &amp; SAFETY</b>			
Failure to maintain H & S in General areas - Office & Clinic Administrative & Reception	HS/R1 (11x sub-risks)	Bur /CoM	GSC
Failure to protect those working at Ht - Office, Student Areas, clinic, library, kitchen	HS/R2 (3x sub-risks)	Bur /CoM	GSC
Failure to protect those moving through the building	HS/R3 (5x sub-risks)	Bur /CoM	GSC
General - Fire Risk & Management failure	HS/R4 (5x sub-risks)	Bur /CoM	GSC
Student & Staff Kitchen Areas H & S failure	HS/R5 (4x sub-risks)	Bur /CoM	GSC
Failure to manage the visiting public	HS/R6 (3x sub-risks)	Bur /CoM	GSC
Failure to protect Students treating patients or each other in clinic & supervised practical sessions	HS/R7 (4x sub-risks)	HoE/CoM	GSC
Failure to protect Lone Workers	HS/R8 (4x sub-risks)	Bur	GSC
Failure to provide adequate first Aid Needs	HS/R9 ( 2x sub-risks)	P/CoM	GSC
Failure to protect students carrying out practical work - Teaching weekends	HS/R10 (2x sub-risks)	HoE/ CoM	GSC
Failure to protect those moving plinths at teaching Weekends	HS/R11 (2x sub-risks)	HoE/ CoM	GSC
Failure in the management of Pins (sharps) at teaching weekends	HSR/R12	HoE/CoM	GSC
Failure to have adequate processes & procedures to cover General Teaching in class/labs (Fire safety)	HS/R13	HoE/CoM	GSC
<b>REGULATION &amp; COMPLIANCE</b>			
Failure to remain GDPR compliant	RC/DP/R1 (5x sub- risks)	P/CoM	GSC
Failure of systems to prevent Fraud	RC/F/R2 (6x sub-risks)	Bur	FSC & GSC
Failure to have adequate IT security	RC/IT/R3 ( 6x sub-risks)	Bur & Fcon	GSC
GOsC /RQ & Regulator change	RC/RQ/R4 ( 2 x sub-risks)	P	CSC & GSC
Failure to remain university validation compliant	RC/V/R 5 (3x sub-risks)	Reg/ HoE	CSC & GSC
Failure to remain OFS compliant	RC/O/R6	Reg/P	GSC
Failure to safeguard students, the public & vulnerable adults	RC/SG/R7 (3x sub-risks)	P/Reg/CoM	GSC
Failure to maintain Prevent	RC/P/R8 (9x sub-risks)	P/HoE	GSC
<b>STRATEGIC PLAN</b>			
Infrastructure Failure	SP/O1	P	GSC
Support & Engagement Failure	SP/O2	Reg & HoE	GSC
Teaching & Learning Failure	SP/O3	Reg & HoE	GSC
Access & Progression Failure	SPO/4	Reg & HoE	GSC
<b>FINANCE</b>			
Failure to maintain resources to support finance management	F/R1	Bur & Fcon	FSC
Budgeting & projection failure	F/R2	Bur & Fcon	FSC
Failure to manage student /staff/staff claims	F/R3	Bur	FSC
Failure to manage financial security	F/R4	Bur & Fcon	FSC
Failure to manage student course fees	F/R5	Bur	FSC
Failure to manage patient clinic fees	F/R6	Bur	FSC
Failure to remain financially viable	F/R7	Bur & Fcon	FSC
<b>ENGAGEMENT (Bus/Health/H.E)</b>			
Failure to engage with the local business community	E/R1	P	GSC
Failure to engage with the broader health community	E/R2	CoM	GSC
Failure to engage with the broader H.E community	E/R3	P/HoE	GSC
<b>IC RESPIRATORY RISK ASSESSMENTS (Consultations Techs &amp; Tests)</b>			
Patient consultations	IC/OC&T/1	CoM	GSC
Standard Tests	IC&OT 2	CoM	GSC
Treatments and Techniques	IC&OT3	CoM	GSC
<b>IC RESPIRATORY RISK ASSESSMENTS (Areas)</b>			
Hallway and stairs	IC1/B&S1/g	CoM	GSC
Admin office and Reception	IC/B&S/Ad	CoM	GSC
Clinic Rooms	IC/B&S/cr	CoM/PM	GSC
Student spaces	IC/B&S/ss	CoM/PM	GSC
Specialist areas	IC/B&S/sp	CoM/PM	GSC
<b>IC NON-RESPIRATORY</b>			
Infectious Illnesses (miscellaneous)	IC/II/M	CoM	GSC
Infectious Illnesses (Skin)	IC/II/S	CoM	GSC
Infectious Illnesses (Gastrointestinal)	IC/II/GG	CoM	GSC
<b>IC OTHER</b>			
Building Environment (Legionella)	IC/BE/L	CoM	GSC

**LATEST**

Note Key  
P - Principal  
REG - Registrar  
BUR - Bursar  
HoE - Head of Education  
CoM - Clinical Operations Manager  
Fcon - Finance Consultant