|  |  |
| --- | --- |
| **UCC General Risk Assessment Form** | Logo, company name  Description automatically generated |
| **Functional Area:** | **Risk Owner:** |
| **College:** | **Signature of Risk Owner:** |
| **Institute:** | **Risk Assessor(s):** |
| **Department/School:** | **Date of Assessment:** |
| **Risk ID:** | **Greatest Impact Type[[1]](#footnote-1):** |
| **HAZARD & RISK DESCRIPTION[[2]](#footnote-2)** | **CURRENT INTERNAL CONTROLS**  | **FURTHER ACTIONS/CONTROLS REQUIRED** | **ACTION OWNER[[3]](#footnote-3)** | **ACTION****DUE DATE** |
|  |  |  |  |  |
| **INITIAL RISK** | **RISK STATUS** |
| **Likelihood** | **Impact** | **Modal Risk Rating** | **Open** | **Monitor**  | **Closed**  |
|  |  |  |  |  |  |

**Annex**

**Impact Types**

An Occupational Safety and Health Risk may be associated with multiple impact types. According to the UCC Risk Management Policy risk owners assess the severity of each risk using a five-point scale and criteria where examples of the severity of each risk is categorised under five headings as follows:

1. **Strategic and Operational risks** – Injury may be included under this risk type as there is no specific “Injury” impact category in the UCC Risk Management Policy according to the following scale:

|  |  |  |
| --- | --- | --- |
| **Rating** | **Strategic and Operational** | **Associated Injury Impact** |
| Severe | 5 | Achievement of strategic and operational goals in the medium term jeopardised. Existence of the University, Colleges/Schools, Service, Project under threat | * Incident leading to death or major permanent incapacity.
* Permanent psychosocial functioning incapacity.
 |
| Major | 4 | Significant effect on operational performance will require operational resource reallocation (financial, assets and or people) to manage and resolve in the medium term to avoid non-achievement of strategic goals | * Major injuries/long term incapacity or disability (loss of limb) requiring medical treatment and/or counselling.
* Impaired psychosocial functioning >6 months.
 |
| Moderate | 3 | Some impact on the University’s Colleges/Schools, Service, Project or operational performance.Less impact on strategic goals in the medium term. | * Significant injury requiring medical treatment, e.g., fracture.
* Agency reportable, e.g., HSA, Gardai (violent/aggressive acts).
* >3 days absence.
* A person who is not an employee, e.g., student or member of the public, is injured from a UCC work activity is taken from the location of the accident to receive treatment in respect of that injury in a hospital or medical facility.
* Impaired psychosocial functioning >1 month, but < 6 months.
 |
| Minor | 2 | Disruption to operations with no permanent or significant effect on the University, College/School, Service, Project. | * Minor injury or illness, first aid treatment required.
* 3 or less days’ absence.
* Impaired psychosocial functioning > 3 days, but <1 month
 |
| Insignificant | 1 | Some localised inconvenience, but no impact to the University, College/School, Service or Project. Absorbed within College/School/Service running costs. | * Adverse event leading to minor injury not requiring first aid.
* No impaired psychosocial functioning
 |

1. **Regulatory**
2. **Financial**
3. **Reputational**
4. **Service (Business) Continuity**

**See Table 1 and Table 2 for the objective criteria to be used when assessing risks for impact and likelihood.**

***Table 1 – Impact [5-step scale]***

Risk owners assess the severity of each risk using the following five-point scale and criteria where examples of the severity of each risk is shown under five headings dimensions.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Rating | Strategic &Operational | Regulatory:Compliance/Legal | Financial | Reputation | Continuity ofService Levels |
| Severe (5) | Achievement of strategic and operational goals in the medium term jeopardised.Existence of the University, Colleges/Schools, Service, Project under threat. | Breach of legislation, contract or policy leading to significant and costly legal action and/or fines with widespread potential impact for the University or breakdown of relationships involving funding. Litigation or criminal prosecution and or substantial major negative sanction by a regulatory body | Greater than 5% of annual incomeOR €10m | Loss of student confidence in the University.Reputation and standing of the University adversely affected nationally /internationally.Serious public outcry and or international coverage.Reputation adversely impacted with majority of key stakeholders.Significant breakdown in strategic and or businesspartnerships. | Total loss of research or service functions. University, Colleges / Schools, Service or Project failure.Complete disruption to University, Colleges/ Schools, Service operations. |
| Major (4) | Significant effect on operational performance will require operational resource reallocation (financial, assets and or people) to manage and resolve in the medium term to avoid non achievement of strategic goals. | Breach of legislation, contract or policy leading to significant and costly legal action and/or fines with widespread potential impact for the University.Litigation or criminal prosecution and or substantial major negative sanction by aregulatory body. | Between 2% and5% of annual income ORbetween €5m-€10m | Loss of student confidence in a College/School or service.Sustained adverse national media and public coverage. Reputation adversely impacted with a significant number of stakeholders.Breakdown in strategic and or business partnership. | Loss of two weeks to two months of teaching research and/ or service functions. |
| Moderate (3) | Some impact on theUniversity’s Colleges / Schools, Service, Project or operational performance.Less impact on strategic goals in the mediumterm. | Breach of legislation, contract or policy leading to escalated legal enquiries and/or fines. Regulatory or legal consequence limited to additional questioning or review by enforcing authority. | Between 1% and2% of annual income ORbetween €2m-€5m | Student and or community concern.Adverse national media coverage and external criticism. Reputation adversely impacted with some stakeholder. | Loss of 1-7 days of teaching, research and/ or business functions. |
| Minor (2) | Disruption to operations with no permanent or significant effect on the University, College / School, Service, Project. | Breach of legislation, contract or policy that may have an impact on the relationship with the third party or enforcing authority, but no long-lasting effect.No litigation or prosecution and /or fine.Regulatory consequenceslimited to standard inquiries | Between 0.5%and 1% of annual income OR between€1m-€2m | Issue raised by students and or local press.Adverse local public or media attention and complaints.Reputation is adversely affected by a small number of affected people.Internal matter. | Loss of one full day of teaching, research and/or service function. |
| Insignificant (1) | Some localised inconvenience, but no impact to the University, College/School, Service or Project.Absorbed with Colleges/Schools/Service running costs. | Breach of legislation, contract or policy that does not have any penalty or litigation impact. | Less than 0.5% of annual income OR €1m | Issue resolved promptly by operational management processes.Minimal or no stakeholder interest.Individual grievances | Loss of less than one days teaching, research and or service functions. |

***Table 2 – Likelihood [5 -step scale]***

Risk owners assess the likelihood of each risk using the five-point scale which is shown in outline below. The risks should be assessed by factoring in the controls which are already in place to mitigate each risk.

|  |  |  |  |
| --- | --- | --- | --- |
| Rating | Score | Threat | Opportunity |
| Almost Certain | 5 | Expected to occur or a common occurrence 80% or above chance of occurrence | Favourable outcome is likely within 6 months |
| Likely | 4 | Will probably occur in most circumstances 70-79% or above chance of occurrence | Favourable outcome is likely within one year |
| Possible | 3 | Might occur at some point.40-69% or above chance of occurrence | Some chance of favourable outcome |
| Unlikely | 2 | Small chance of occurring at some point 10-39% or above chance of occurrence t | Some chance of favourable outcome in the long term 10% - 30% |
| Rare | 1 | Only in exceptional circumstance Less than 10% chance of occurrence | Less than 10% of occurrence |

*Table 3 – Risk Matrix [5x5 model]*

* Multiplying impact by likelihood provides the overall risk rating or risk score.
* Which risks pose the greatest threat?
* Which risks to prioritise?
* Which risks to resource or identify additional mitigation measures/further actions for?

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **I M P A C T** | **(5)** | **Severe** | Low | Medium | High | Extreme | Extreme |
| **(4)** | **Major** | Low | Medium | Medium | High | Extreme |
| **(3)** | **Moderate** | Low | Low | Medium | Medium | High |
| **(2)** | **Minor** | Insignificant | Low | Low | Medium | Medium |
| **(1)** | **Insignificant** | Insignificant | Insignificant | Low | Low | Low |
|  | Less than 10% chance of occurrence | 10-39% chance of occurrence at some time | 40-69% chance of occurrence at some time | 70-79% chance of occurrence at some time | 80% or above chance of occurrence at some time |
| **Rare (1)** | **Unlikely (2)** | **Possible (3)** | **Likely (4)** | **Almost Certain (5)** |
| **LIKELIHOOD** |

*Table 4 –* ***Risk Matrix Legend***

|  |
| --- |
| Risk Matrix Legend |
| Extreme | Red | 20 - 25 |
| High | Amber | 15 - 19. 99 |
| Medium | Yellow | 8 - 14. 99 |
| Low | Green | 1 - 7 .99 |

1. See UCC Risk Management Policy (incorporating User Guide) and annex to this form [↑](#footnote-ref-1)
2. Include description of consequences [↑](#footnote-ref-2)
3. Person responsible for each action [↑](#footnote-ref-3)