|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **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 of  Service 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 income  OR €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 business  partnerships. | 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 a  regulatory body. | Between 2% and  5% of annual income OR  between €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 the  University’s Colleges / Schools, Service, Project or operational performance.  Less impact on strategic goals in the medium  term. | 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% and  2% of annual income OR  between €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 consequences  limited 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)