

## **Annex 2 - Risk Assurance Platform (RAP) – Guidance Notes V1.0**

The Risk Assurance Platform (RAP) is designed to support Faculties, Schools, Professional Service Divisions and subsidiaries of the University to review and monitor risks as part of their day to day activities. The system can assign mitigating actions to appropriate personnel and note progress in managing risks, thus providing risk owners and senior management with a living record of developments.

**Link:** <https://sussex.riskassuranceplatform.co.uk>

### **1. Basic Page Layout**

**1.1** The Main Menu (on the left-hand side) contains the following options:

- Dashboard - shows your personal dashboard.
- Risk/Issue List - takes you back to the main page of the system which will display a list of risks/issues. When you first log on this will be your personal list of risks/issues i.e. those on which you have a role.
- Action List - shows a list of actions which have been proposed to mitigate your risks.
- Reporting - takes you to a page which allows you to produce reports in various formats.
- Raise - brings up a blank form for creating a new risk or issue. NB - this button will only be visible if you have 'author' access (or a higher level).
- Maintenance – NB - this button will only be visible if you have 'administrator' access somewhere within the hierarchy.

**1.2** The header across the top contains the user menu at the far right which is accessed by clicking on the down arrow. This allows access to the following functions:

- Logout
- My Details - shows your own login details, what access rights you currently have and allows you to change your password.
- The header also contains three icons which show your notifications, alerts and any action dates.

### **2. Raising a New Risk**

**2.1** Click the Raise tab on the left hand column of your home screen. This can also be done by clicking the large green circular + button on the top right hand side of your home screen. This brings up an empty risk detail page which is made up of a number of tabs. Some fields will be automatically populated with your details.


- 2.2** Enter a Title for the risk/issue. This should contain a short description which highlights the essential content of the risk.
- 2.3** Enter the reference number. This is a non-mandatory field but you may wish to assign each risk with your own unique reference number. For example, in Human Resources the first risk on the register might be HR - 001 or the third risk on the Media, Arts and Humanities Risk Register could be MAH - 003.
- 2.4** The Sub-Organisational Unit drop-down menu will default to the relevant Faculty, Professional Service Division or subsidiary of the University. You will only need to change this if you wish to assign the risk against a sub-section of your risk register, if you have these set up.
- 2.5** Risks that are identified locally within a Faculty, School or Professional Service Division must have a local owner. Enter the Owner using the pick-list (this list includes all people with at least 'owner' status within the organisation unit selected in step 9.4). This should be the person ultimately responsible/accountable for the management of the risk. By default, this will be the relevant Executive Dean or Director.
- 2.6** Primary Goal Impacted – Use the drop down list to categorise the risk in line with the University's objectives.
- 2.7** Enter any keywords which may be used to assist searches and reporting. Find applicable keywords by selecting the button to the right hand end of the Keywords field.
- 2.8** Check the box marked Confidential, if applicable.
- 2.9** Select either Risk or Issue from the Type checkbox. In general, a risk is something that might happen, an issue is something that has happened. If you select Issue you will receive an alert to indicate that the likelihood rating has changed to the maximum value of 5.
- 2.10** Enter a full description of the risk/issue in the Description field. Capturing the risk accurately is essential in helping to identify the best way to address that risk. Risks should be assessed and prioritised in relation to your Faculty/School/Divisional priorities and the University's objectives.

A statement of risk should describe the root cause of a potentially damaging occurrence, followed by the impact it would have. It is good practice to construct risk descriptions along the following lines, "If (x) causes (y) to happen, then the impact will be (z).".

Use the Commentary section to provide any information that would help the reviewer to understand any current challenges and/or any progress towards mitigation. Commentary can also be used to capture any recent developments, or if external factors have caused a change in the scoring of a risk. Please put a date against any recently added content.

Risk scoring should follow the University's 5x5 matrix as detailed in Figure 1 below.

**Figure 1 Risk Scoring Matrix**

LIKELIHOOD	Event is <b>expected</b> to occur imminently	>90%	<b>Almost Certain</b>	5	5	10	15	20	25
	Event will <b>probably</b> occur at some point	50-90%	<b>Likely</b>	4	4	8	12	16	20
	Event <b>could</b> occur in the future	30-50%	<b>Possible</b>	3	3	6	9	12	15
	Event is <b>not expected</b> to occur	10-30%	<b>Unlikely</b>	2	2	4	6	8	10
	Event would only occur in <b>exceptional</b> circumstances	<10%	<b>Rare</b>	1	1	2	3	4	5
						1	2	3	4
					Minor	Moderate	Significant	Major	Severe
 <b>UNIVERSITY OF SUSSEX</b>	<b>Oversight</b>	Resolution would be achieved through normal activity	Resolution would require input from Head of School or Director	Resolution would require action approved by UEG	Resolution would require direction from Council	Intervention by Council and possibly external bodies (e.g. OfS)			
	<b>Cost</b>	Under £50k	£0.05m to £0.5m	£0.5m to £5m	£5m to £25m	Over £25m			
	<b>Reputation</b>	Negligible reputational damage, reputational building	Reputation damage unlikely, potential to build reputation	Some adverse publicity, but short-lived reputational damage	Some adverse publicity, but short-lived reputational damage	Substantial and prolonged reputational damage			
	<b>Achievement of Objectives</b>	Negligible impact of School/Divisional objectives	School/Divisional objectives compromised	Some impact upon the University's strategic objectives	Major impact upon the University's strategic objectives	Failure of strategic objectives, requiring fundamental revision			
					IMPACT				

These risk rating criteria can also be found on your RAP home page, if you hover your cursor over the Likelihood and Impact headings above the Risk Matrix Table. Enter the Likelihood and Impact ratings by clicking the buttons. There are 4 sections under Impact (check at least one of the following options):

- **Cost**
- **Reputation**
- **Oversight**
- **Achievement of Objectives**

The system will automatically calculate the Risk Rating (Score) as the Likelihood multiplied by the highest of all the Impact ratings. The overall gross risk score will range from 1-25.

- 1-5 Acceptable, the risk will be monitored or closed
- 6-10 Action necessary, the Faculty/Division has existing measures to control the risk
- 11-15 Action essential, the Faculty/Division should propose further mitigation measures
- 16-25 Priority for attention, the Executive Dean/Director will report risk to UEB

**N.B.** risk scores should be aligned to the overall performance of the University, as opposed to the local objectives of a particular Faculty, School or Professional Service Division. It is therefore unlikely that a Faculty or Divisional level risk will have an overall rating of more than 15, unless it could create a significant impact across the University. There are some notable exceptions and where this is recorded on the RAP, the relevant Executive Dean, Head of School or Director will be responsible for liaising with the Risk Management Board. In accordance with the University's Risk Management Policy, the risk may be escalated to the Institutional Risk Register.

**2.11** Use the Current Score to check and update the risk rating when undertaking your review. This can be done at any time but at least once a term or when you become aware that something has changed which alters your risk profile. Refer to section 2.10 for further information on Risk Scoring.

**2.12** Current Controls will describe any existing actions that you are already undertaking to manage the risk. Your risk rating should have taken into account the effectiveness of the controls that are already in place.

Most of these controls will be preventative. For example, a measure designed to reduce the likelihood of an undesirable incident occurring. Control measures should be proportionate and cost will be a key consideration along with the appetite for a given risk.

When entering your Current Controls on the RAP, you will be asked to mark them as Red, Amber or Green to indicate the status of their implementation, and also to rank them to indicate their importance to your Faculty, School or Division.

**2.13** Planned Mitigating Actions – Additional controls which will reduce the risk rating but have not yet been fully implemented.

- Click on the Create Action button.
- Enter a SMART description of the action to be undertaken in the Action box.
- Assign the action to the appropriate person.
- Enter a Target Date by which the action is intended to be completed.
- You will receive an email prompt from the RAP when the target date is overdue, at which point you can extend the date, mark the action as complete or remove it altogether.

**2.14** Residual Score indicates the intended risk rating once controls and mitigation measures have been introduced. Therefore, this rating should not be higher than the Original Score. Refer to section 2.11 for further information on Risk Scoring.

Sufficient controls and SMART actions should be introduced to reduce the residual risk rating to an acceptable level, and in most cases, this will be a score of less than 12. The Residual Score should represent an acceptable level of risk, in line with the University's Risk Appetite Statement.

**2.15** Audit (visible to Administrators only) – each time the particular risk is checked, edited or reviewed, a record will be created under the Audit tab.

**2.16** Once all sections have been completed, click Submit and the risk will be entered onto the system.

### **3. Updating your Risk Information on the RAP.**

**3.1** You should review and update your risk information at least twice per year and more frequently if a situation arises which requires you to add a new risk or alter the rating and control measures for existing risks.

**3.2** When updating existing risk information, it is essential that you check each risk for which you are accountable and at the very least, review the following sections on the RAP:

- Description of the Risk (see section 2.10) – review text
- Current risk score (see section 2.12) – consider if the score needs to be changed
- Current Controls – Review text, indicate priority and status (see section 2.13)
- Planned Mitigating Actions – Edit text and review target date (see section 2.14)

**3.3** If you wish to remove a risk from the RAP, click to open the relevant risk overview and check the 'Is Closed' box on the Detail tab. You will be required to confirm that there are no outstanding controls or actions on order to close a risk and remove it from your register.

**3.4** If you require new users to be added to the system, please email [b.p.toogood@sussex.ac.uk](mailto:b.p.toogood@sussex.ac.uk)

**3.5** When reviewing existing risks, you should seek to show progress as to how the risk is being managed over time. Mitigation measures should serve to reduce the risk rating, or at least maintain it at the residual level. If a risk rating is increased, additional SMART mitigation measures should be introduced which will return the risk rating to a tolerable level. Once the Current Risk Rating is the same as (or less than) the residual rating, the risk will be marked as 'Controlled' on the RAP.

**3.6** The RAP system will send automated notifications to risk owners when mitigating actions are due to reach their completion date.

### **4. Generating Reports**

**4.1** If you wish to generate a report from the RAP, click on the Reporting tab on the left-hand column from the homepage.

**4.2** Several options are available to present your risk information in a table. The most commonly used is available by selecting the Risk Register tab. Then, to generate your report, click on the dropdown menu under Report Layout and select University of Sussex 2020 Layout. If you wish to generate the report into an excel spreadsheet, select this option under Output Format and then click Report at the bottom of the page.

**4.3** Help on producing RAP reports can be found here: <https://viralapps.zendesk.com/hc/en-gb/articles/201901321-Risk-Register>

#### **Additional Guidance:**

1. Please refer to the University's Risk Management Policy for further guidance.
2. If you have any further queries, please email [b.p.toogood@sussex.ac.uk](mailto:b.p.toogood@sussex.ac.uk) or call 01273 678734.