



Strategic Risk Management Report for Audit & Risk Committee

<b>Outcome requested:</b>	Audit & Risk Committee is asked to <b>note</b> the termly report on QMUL's strategic risk management framework.
<b>Executive Summary:</b>	This is the termly report to Audit & Risk Committee which includes reports that have been produced from the Strategic Risk Register, updated by the Strategic Risk Management Group (SRMG) at its meeting on 5 <sup>th</sup> September 2017. <ul style="list-style-type: none"> <li>o Summary Register</li> <li>o Risk Matrix</li> <li>o Change Log</li> </ul>
<b>QMUL Strategy: strategic aim reference and sub-strategies [e.g., SA1.1]</b>	The Strategic Risk Register is aligned to all areas of the Strategic Plan.
<b>Internal/External regulatory/statutory reference points:</b>	It is a HEFCE requirement for QMUL to hold a Strategic Risk Register
<b>Strategic Risks:</b>	QMUL Strategic Risk Register
<b>Equality Impact Assessment:</b>	Not required
<b>Subject to prior and onward consideration by:</b>	QMSE
<b>Confidential paper under FOIA/DPA YES/NO*</b>	No
<b>Timing:</b>	Termly report to Audit & Risk Committee
<b>Author:</b>	Monique Arthur, Senior Planning Officer
<b>Date:</b>	14 <sup>th</sup> September 2017
<b>Senior Management/External Sponsor</b>	Prof Edmund Burke (Vice-Principal, Science & Engineering)



**Strategic Risk Register Update**

Following an action from the last Audit and Risk Committee in June 2017, the strategic risk register has been reviewed and updated. In recent meetings, the rising trajectory of the risk profile of the institution has been drawn to the attention of Council. It was also noted that the overall risk profile as it was described in the strategic risk register did not always correspond with other assurances given to Council about QMUL’s responsiveness to the external environment. As a result, The Chief Operating Officer, Academic Registrar, Strategic Change Manager and Senior Planning Officer reviewed and updated the strategic risk register. This group also observed that the current strategic risk register captured QMUL activities rather than articulating QMUL institutional risks and have tried to rectify that in the updated register. After receiving agreement from the Chair of SRMG, the register was shared with the SRMG for comment/approval. The new register is attached.

The Chair of SRMG and the Chief Operating Officer will also provide a verbal update to Audit and Risk Committee on:

- i. the definitions used in the register
- ii. the accuracy of the register
- iii. the effectiveness of actions that are being taken to reduce risks, including future plans where appropriate.

The main changes to the strategic risk are as follows:

**New risks added**

- a) Risk 16 - research income generation

**Risks removed**

- a) Risk 5 (life sciences) – now incorporated under risk 14 (strategic projects)
- b) Risk 7 (design and delivery of high quality portfolio of programmes) – now incorporated under risk 2 (student experience: teaching, learning & assessment)
- c) Risk 8 - (commitment to public engagement) – now incorporated under risk 9 (reputational development and external relations)
- d) Risk 10 – now incorporated under risk 2 (student experience: teaching, learning & assessment and risk 9 (reputational development and external relations)
- e) Risk 12 - now incorporated under risk 11 (sustainable growth)

**Please note: although a new risk (risk 16) has been added and a number of risks removed (risks 5, 7, 8, 10 and 12), the risk reference numbers (column A in the register) have not been amended for audit purposes.**

**Risk Owners/Lead Officers**

Previously there were multiple risk owners and lead officers, it was felt that only one risk owner and one lead officer were necessary per risk.

**Risk scores – increases in risk**

<b>Risk 3 – High quality staff</b>							
Impact (pre)	4 (4)	Likelihood (pre)	4 (3)	Impact (post)	4 (3)	Likelihood (post)	3 (3)
Following the decision to leave the EU, QMUL’s ability to recruit and retain staff could be affected. It is still too early to quantify the impact but QMUL will be monitoring this closely.							

<b>Risk 6 – Impact &amp; Innovation</b>							
Impact (pre)	5 (3)	Likelihood (pre)	4 (4)	Impact (post)	3 (3)	Likelihood (post)	4 (3)
SRMG felt this risk should rise given that the effect of impact statements has potentially increased.							

### Risk Scores – reduction in risk

On reflection, some risk scores were considered to be too great, particularly those positioned in the 'greater than 20% likelihood' range and/or 'catastrophic' impact level. Consequently the risk scores for 1, 9, 11, 13 and 15 have been lowered.

<b>Risk 1 – Student Recruitment</b>							
Impact (pre)	5 (5)	Likelihood (pre)	4 (5)	Impact (post)	3 (5)	Likelihood (post)	3 (5)

<b>Risk 9 – Reputational Development and External Relations</b>							
Impact (pre)	5 (5)	Likelihood (pre)	4 (4)	Impact (post)	4 (5)	Likelihood (post)	3 (4)

<b>Risk 11 – Sustainable Growth</b>							
Impact (pre)	4 (5)	Likelihood (pre)	4 (5)	Impact (post)	4 (4)	Likelihood (post)	3 (4)

<b>Risk 13 – Maintain effective and constructive governance</b>							
Impact (pre)	4 (5)	Likelihood (pre)	4 (4)	Impact (post)	4 (5)	Likelihood (post)	3 (3)

<b>Risk 15 – Student Recruitment</b>							
Impact (pre)	5 (5)	Likelihood (pre)	4 (5)	Impact (post)	4 (5)	Likelihood (post)	3 (3)

## STRATEGIC RISK REGISTER

Reference	Risk Group	Initial risk before any controls				Controls	Residual risk with current controls				Further Actions and Notes	Owner	Lead Officer	Strategic Objective	Term			
		Impact	Likelihood	Initial Risk Score	Direction of Travel		Impact	Likelihood	Residual Risk Score	Direction of Travel								
1	2	6	7	8	9	#	11	13	14	15	16	18	#	20	21	#	23	24
<b>Recruitment and development of students and staff of the highest calibre and potential</b>																		
1	<b>Student recruitment</b> • Failure to recruit number and quality of students distributed across a range of subjects at UG, PGT and PGR level	5	4	20.0	↓	<ul style="list-style-type: none"> <li>Well established arrangements for Confirmation and Clearing (A)</li> <li>Agreeing realistic student number targets and plans (B)</li> <li>Effective Marketing and Communications strategy (B)</li> <li>Well articulated admissions strategy to move away from clearing reliance (B)</li> <li>Better data &amp; analysis of marketing data (B)</li> </ul>	3	3	9.0	↓	<p><b>INTERNAL</b></p> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>Monitoring effects on 'Brexit' outcome on enquiries and applications from EU citizens (ongoing)</li> <li>Re-examine targets and budget in the next planning round (in progress)</li> <li>Increasing the number of agents in the EU to maximise potential (in progress)</li> <li>Improving competitiveness of the admissions process (ongoing)</li> <li>Ongoing improvements to offer holder days (ongoing)</li> <li>Focus on conversion opportunities (in progress)</li> <li>Development of a coordinated approach to conversion activity (in progress)</li> <li>Attractive portfolio (ongoing)</li> </ul> <p><b>Notes</b></p> <ul style="list-style-type: none"> <li>Update to the Marketing &amp; Communications Strategy required to address changes to external demands</li> <li>Implementation of the QMUL model</li> </ul>	• VP (SETL)	• Director of Marketing and Communications	1.1, 2.2, 3.3, 4.2, 4.3, 4.4	Long Term			
2	<b>Student experience: teaching, learning &amp; assessment</b> • Failure to deliver good student experience for all (UG, PGT & PGR) will lead to non continuation, poor NSS results and poor attainment rates (leading to poor TEF results), and poor reputation. Student Experience encompasses: High quality teaching & learning experience, good support, high quality facilities, focus on student welfare & wellbeing, successful outcomes, effective assessment & feedback and partnerships.	5	4	20.0	↔	<ul style="list-style-type: none"> <li>Students' Union strategy (A)</li> <li>SETLA strategy and plans (A)</li> <li>Employability and success strategy and plans (B)</li> <li>Components of the Estates strategy (B)</li> <li>10 year capital framework (A)</li> </ul>	4	4	16.0	↔	<p><b>INTERNAL</b></p> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>Continue working on a set of measures to improve teaching estate (in progress)</li> <li>Clear priority on improving retention and success (in progress)</li> <li>Work to improve the teaching estate and IT (in progress)</li> </ul> <p><b>Notes</b></p> <ul style="list-style-type: none"> <li>Revise the SETLA strategy</li> <li>Implementation of the QMUL model</li> </ul>	• VP (SETL)	• COO	1.2, 3.1	Long Term			
3	<b>High quality staff</b> • Failure to recruit, retain and develop high quality staff in the academic disciplines and professional services.	4	4	16.0	↑	<ul style="list-style-type: none"> <li>Athena SWAN (A)</li> <li>Relatively strong appraisal and probation processes (A)</li> <li>Competitive remuneration of senior academics (A)</li> <li>Promotions process (A)</li> </ul>	3	3	9.0	↔	<p><b>INTERNAL/EXTERNAL</b></p> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>Proactive communications and support for staff who may be impacted by Brexit (ongoing)</li> <li>Monitoring and reacting to staff attitudes from the staff survey (ongoing)</li> </ul> <p><b>Notes</b></p> <ul style="list-style-type: none"> <li>Development of the People's strategy</li> <li>Several other strands of work at early stages e.g. staff engagement, response to REF</li> <li>Ongoing work on short term contracts</li> </ul>	• QMSE Lead for HR	• Director of HR	1.3, 2.1, 2.3, 3.4	Long Term			
<b>Research Excellence</b>																		
16	<b>Research income generation</b> • Failure to achieve an appropriate level and diversity of income	4	5	20.0	n/a	<ul style="list-style-type: none"> <li>Mechanisms to offset the threat of losing EU funding (B)</li> <li>Appropriate recovery of overheads (B)</li> <li>Review of research support (B)</li> <li>Annual research reviews (A)</li> <li>Strategic Grants Advisory Group (A)</li> </ul>	4	4	16.0	n/a	<p><b>INTERNAL/EXTERNAL</b></p> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>EU Advisory Group and VPRAG monitoring potential impact of Brexit but loss of access to EU research funding and changes to government policy could have a significant impact (in progress)</li> <li>Implementation of research support review recommendations (in progress)</li> </ul> <p><b>Notes</b></p> <ul style="list-style-type: none"> <li>Review of industry and other external funding</li> </ul>	• VP (Res)	• Director of Research Services	4.1	Medium Term			
4	<b>Research output</b> • Failure to continue to produce high quality research outputs as measured by the REF exercise	4	5	20.0	↔	<ul style="list-style-type: none"> <li>Implement and monitor QMUL, Faculty &amp; School research plans (A)</li> <li>Research strategy - including commitment to diversify (A)</li> <li>Annual Research Reviews (A)</li> <li>Research Grant Management System (RGMS) - phase 1 (A)</li> </ul>	4	4	16.0	↔	<p><b>INTERNAL/EXTERNAL</b></p> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>Review of research support terms of reference agreed Oct 2016 (in progress)</li> <li>Research Grant Management System phase 2 has commenced (in progress)</li> </ul> <p><b>Notes</b></p> <ul style="list-style-type: none"> <li>Review of research support report due late summer 2017</li> </ul>	• VP (Res)	• Director of Research Services	4.1	Medium Term			
6	<b>Impact and Innovation</b> • Reduction in income and reputation through REF	5	4	20.0	↑	<ul style="list-style-type: none"> <li>QMI new structure (A)</li> <li>Public Engagement (A)</li> <li>Research strategy - including commitment to diversify (A)</li> <li>Annual research reviews (A)</li> </ul>	3	4	12.0	↑	<p><b>INTERNAL/EXTERNAL</b></p> <p><b>Further Actions</b></p> <ul style="list-style-type: none"> <li>REF planning (in progress)</li> </ul> <p><b>Notes</b></p> <ul style="list-style-type: none"> <li>Review of research support</li> <li>HEIF funding</li> </ul>	• VP (Res)	• Director of Research	2.4, 5.4	Medium Term			

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		Impact	Likelihood	Initial Risk Score	Direction of Travel		Impact	Likelihood	Residual Risk Score	Direction of Travel					
<b>Public Engagement and Reputation</b>															
9	<b>Reputational Development and External Relations</b> • Reputation underperforms relative to quantitative measures of quality in performance, with subsequent impact on student and staff recruitment, league table position, fundraising, research grants and partnerships	5	4	20.0	↔	• Student Experience and Research Excellence both critical contributors to building and sustaining reputation (A) • Centre for Public Engagement (A) • Public Engagement Strategy (A) • Life Sciences Institute (B)	4	3	12.0	↓	<b>INTERNAL/EXTERNAL</b>  <b>Further Actions</b> • Ongoing work to maximise the impact of the QMUL brand (ongoing) • Reputation task & finish group (in progress)  <b>Notes</b> • New Director of Marketing and Communication recruited with a focus on developing reputation • QMUL has achieved the Gold National Coordinating Centre for Public Engagement chartermark	• Principal	• Director of Marketing and Communications	1.4, 4.1, 5.1	Medium - Long Term
<b>Financial strength through a balanced portfolio of activities</b>															
11	<b>Sustainable growth</b> • Failure to achieve sufficient cash surplus to fund our ambitions	4	4	16.0	↓	• Cost control, VFM and expenditure (A) • Robust planning and forecast process that ensures management of cost base alongside income growth (A) • Marketing and Communications strategy (A) • Broad portfolio of cost control measures (A) • Consistent and effective use of cash (A)	4	3	12.0	↓	<b>INTERNAL/EXTERNAL</b>  <b>Further Actions</b> • Standard service catalogue for EAF maintenance (in progress) • Review of planning process  <b>Notes</b> • Sustainability work ongoing	• Principal	• COO	6.1, 6.2, 6.3, 6.4	Short - Long Term
<b>Governance, Business Continuity and Data Security</b>															
13	<b>Maintain effective and constructive governance</b> • Failure to comply with legislation and regulatory requirements	4	4	16.0	↓	• Annual report on legal compliance provided to Audit and Risk Committee (A) • Internal Audit plan (A) • Review of the effectiveness of Council and its committees (A) • Academic governance and the quality assurance framework (A) • Business Continuity Planning (A)	4	3	12.0	↔	<b>INTERNAL</b>  <b>Further Actions</b> • Data protection (in progress) • One web project (in progress)  <b>Notes</b> • Review of Research Services	• Principal	• COO	1.3, 3.1, 4.4, 6.1	Short Term - Long Term
14	<b>Failure to develop and implement strategic development projects in support of the university's overarching Strategic Plan</b> (significant projects include LSI and joint programmes in China)	4	3	12.0	↔	• University Strategy with Strategic Aims implementation plans and IOPs (A) • Planning and Accountability Review (A) • Revised Planning Process (B)	4	2	8.0	↔	<b>INTERNAL</b>  <b>Further Actions</b> • Further develop project methodology and financial controls (in progress) • Effective project governance (in progress)  <b>Notes</b>	• Principal	• COO	1.1, 1.3, 2.1, 2.2, 2.3, 2.4, 3.2, 4.1, 4.2, 4.3, 5.1, 5.2, 6.1, 6.2	Long Term
15	<b>Security of people, assets and data in line with current legislation</b>	5	4	20.0	↓	• Insurance, health & safety policy and procedures, data security, planned maintenance, inspection and alarm testing policy and procedures (A) • Emergency Response Plan (A) • Business Continuity Plan (A) • Fire Risk Assessment process (A) • Estates Strategy (B) • Event management protocols (A) • Police and security service liaison (A) • Data security policies and procedures and IT resilience plan (B) • Internal audits regularly reviewed by Audit and Risk Committee (A) • Cyber Security Committee (B) • Freedom of Speech policy (A)	4	3	12.0	↓	<b>INTERNAL</b>  <b>Further Actions</b> • Creation of data centre network; fire risk assessment process and associated maintenance plan (in progress); long term maintenance plan prioritising works for fire safety and other compliance issues for 16/17 cycle of works • Enhanced relationships with senior police leadership in relation to personal security are ongoing (in progress) • Ongoing development of the long term maintenance strategy (ongoing)  <b>Notes</b> • Ongoing work with locally managed equipment • Emergency response plan launched and further training now provided • Business continuity plan now in development • Cyber security training launched in January 2016, needs further promotion to improve take-up • Estates reviewing the physical security of dangerous substances • Security review	• Principal	• COO	2.1, 4.1, 6.1	Long Term

Reference	Risk Group	Initial risk before any controls				Controls	Residual risk with current controls				Further Actions and Notes	Owner	Lead Officer	Strategic Objective	Term
		Impact	Likelihood	Initial Risk Score	Direction of Travel		Impact	Likelihood	Residual Risk Score	Direction of Travel					

NB Shaded columns are reported to Audit and Risk Committee and Council

**Acronyms**

Acad Sec	Secretary to Council and Academic Secretary
CSO	Chief Strategy Officer
COO	Chief Operating Officer
COO (SMD)	Chief Operating Officer (SMD)
Director of F	Director of Finance
Director of HR	Director of Human Resources
Director of ITS	Director of Information Technology Services
Director of CAPD	Director of The Centre for Academic and Professional Development
Director of Estates and Facilities	Director of Estates and Facilities
Director of QMI	Director of Queen Mary Innovation
Faculty VPs	Faculty Vice-Principals
FIC	Finance and Investment Committee
Director of M & C	Director of Marketing & Communications
HoSs	Heads of Schools, Institutes and Departments
CAPD	The Centre for Academic and Professional Development
MRAG	Marketing, Recruitment and Admissions Group
PAR	Planning and Accountability Review
Principal	Principal
QMIL	Queen Mary Innovation Limited
QMSE	Queen Mary Senior Executive
SET	SMD's School Executive Team
SMD	School of Medicine and Dentistry
TPPG	Taught Programmes Planning Group
VP (PE & SE)	Vice Principal for Public Engagement and Student Enterprise - Prof Peter McOwan
VP (Health)	Vice Principal & Executive Dean (Health) - Prof Steve Thornton
VP (H&SS)	Vice-Principal (Humanities & Social Sciences) - Prof Matthew Hilton
VP (Res)	Vice-Principal (Research) - Prof Bill Spence
VP (Int)	Vice-Principal (International) - Prof David Sadler
VP (S&E)	Vice-Principal (Science and Engineering) - Prof Edmund Burke
VP (SETL)	Vice-Principal (Teaching and Learning) - Prof Rebecca Lingwood
CCVPs	Cross-Cutting VPs

**Strategic IOP**

The IOPs identified in the College's Strategic Plan

- Term**
- Short**
- Medium**
- Long**

The period in which the risk is likely to occur:  
 Up to 2 years  
 Likely to continue for 2 to 5 years  
 Lasting more than 5 years  
 Enduring risks, which are likely to continue indefinitely, should be expressed as Long Term.

- Impact**
- 1**
- 2**
- 3**
- 4**
- 5**

The effect of the risk occurring:  
**Negligible**  
**Minor**  
**Moderate** See Guidance page.  
**Major**  
**Catastrophic**

- Likelihood**
- 1**
- 2**
- 3**
- 4**
- 5**

How likely it is that a risk will occur:  
**Rare** 2% likely to happen: a one in fifty chance  
**Unlikely** 5% likely to happen: a one in twenty chance  
**Possible** 10% likely to happen: a one in ten chance  
**Likely** 20% likely to happen: a one in five chance  
**Almost Certain** 50% or over: a one in two chance or more likely to happen than not

- Controls in Place**
- A**
- B**
- C**

Indicates whether the Controls in place have:  
**A** been implemented and are operating effectively  
**B** been identified and are being implemented  
**C** been identified as missing or incomplete, or implementation has not commenced

- Direction of Travel**
- New or N/A
- ↑
- ↔
- ↓

Whether the situation has changed and in what way:  
 New item **N.B. This may be a newly identified risk, as opposed to a new actual risk.**  
 ↑ Indicates a worsening position  
 ↔ Indicates an unchanged position  
 ↓ Indicates an improving position

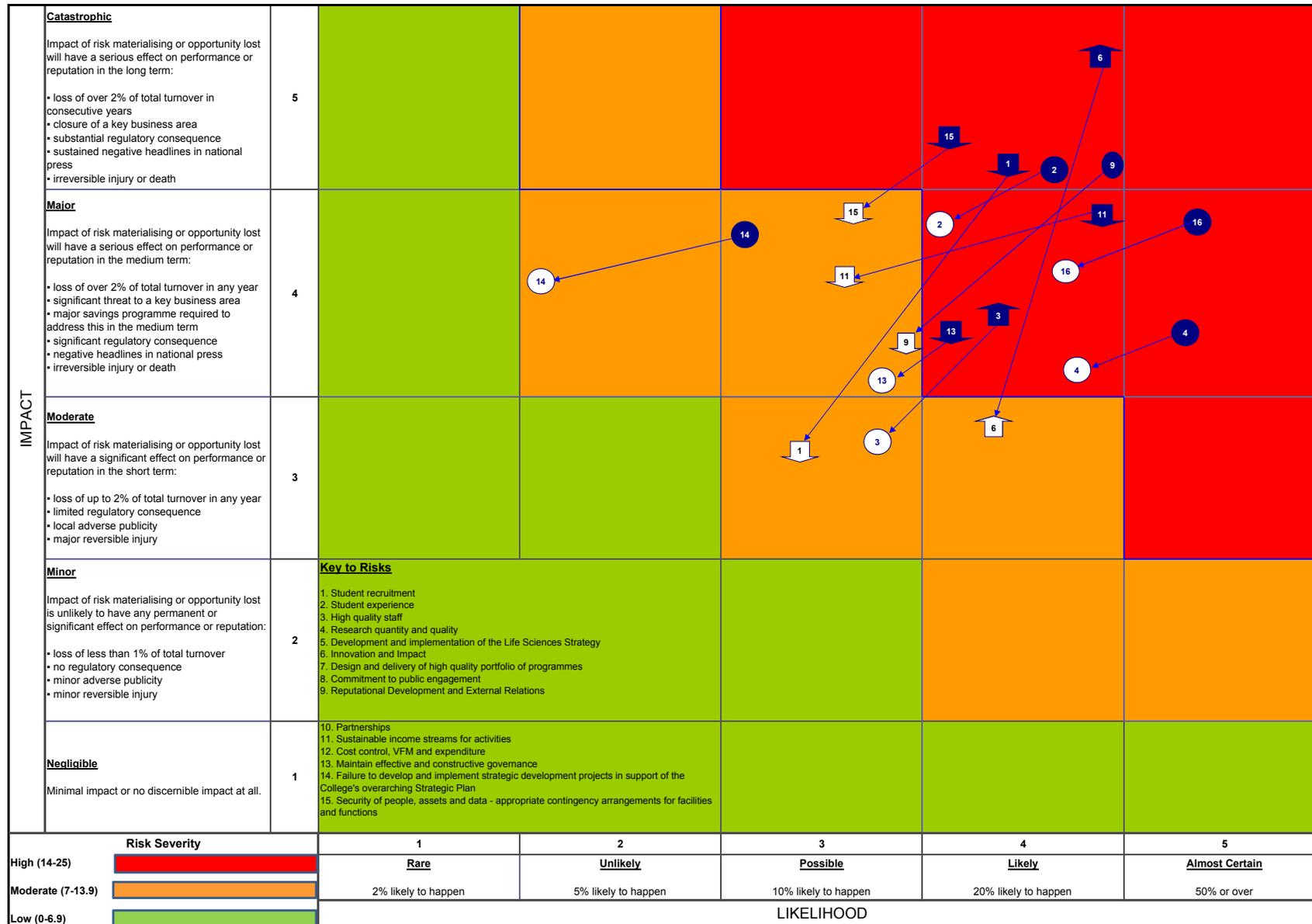
**QMSE members with responsibility for Professional Support Service departments:**

QMSE Lead for Estates & Facilities (RL)	Prof Rebecca Lingwood (Estates & Facilities)
QMSE Lead for HR	
QMSE Lead for IT (PMcO)	Prof Peter McOwan (IT)
QMSE Lead for Audit & Risk Committee (EB)	Prof Edmund Burke (ARC)
QMSE Lead for Libraries (RL)	Prof Rebecca Lingwood (Libraries)
QMSE Lead for CAPD (RL)	Prof Rebecca Lingwood (CAPD)
QMSE Lead for Student Union (RL)	Prof Rebecca Lingwood (Student Union)
QMSE Lead for Health and Safety (EB)	Prof Edmund Burke (Health and Safety)
QMSE Lead for Finance ()	
QMSE Lead for QMIL (WJS)	Prof Bill Spence (Queen Mary Innovation Ltd)

<b>Number of risks listed</b>	<b>11</b>
<b>Number of Moderate risks</b>	<b>8</b>
<b>Number of 'High' risks</b>	<b>3</b>
<b>Number of 'Low' risks</b>	<b>0</b>

**Risk Matrix: Risks before and with current controls**

5th September 2017



Gross risk assessed before Controls



Net risk assessed with Current Controls



Gross risk = Net risk



Direction of travel since previous report

**Strategic Risk Register Change Log 26th April 2017 vs 5th September 2017**

Ref	Risk	Initial risk before any controls		Residual risk with current controls		Net Change	Notes and reasons for change				
		Impact	L'hood	Impact	L'hood						
1	Student recruitment	5	(5)	4	(5)	3	(5)	3	(4)	↓	<p>Risk Descriptors removed</p> <ul style="list-style-type: none"> <li>Number and quality of students distributed across a range of subjects at UG and PG level</li> <li>PGR students</li> <li>Recruitment to Life Sciences</li> <li>Recruitment of international students</li> <li>Compliance with Tier 1, 2 and 4 visa regulations</li> </ul> <p>Risk Descriptor amended from 'Failure to recruit number and quality of students distributed across a range of subjects at UG and PG level' to 'Failure to recruit number and quality of students distributed across a range of subjects at UG, PGT and PGR level'</p> <p>Initial control likelihood reduced from 5 to 4, current control impact &amp; likelihood reduced from 5 to 3</p> <p>Controls removed</p> <ul style="list-style-type: none"> <li>Faculty and School recruitment target and plans</li> <li>Doctoral College</li> <li>Life Sciences strategy</li> <li>Space Management Group</li> <li>Expanded and shaped admissions team</li> <li>Review of admissions policy and procedures</li> <li>New ToR for MRAG</li> </ul> <p>Controls added</p> <ul style="list-style-type: none"> <li>Effective Marketing and Communications strategy</li> <li>Well articulated admissions strategy to move away from clearing reliance</li> <li>Better data &amp; analysis of marketing data</li> </ul> <p>Further actions added:</p> <ul style="list-style-type: none"> <li>Increasing the number of agents in the EU to maximise potential</li> <li>Improving competitiveness of the admissions process</li> <li>Ongoing improvements to offer holder days</li> <li>Focus on conversion opportunities</li> <li>Development of a coordinated approach to conversion activity</li> <li>Attractive portfolio</li> </ul> <p>Notes removed:</p> <ul style="list-style-type: none"> <li>16/17 recruitment was up on last year's actuals, with PGT O/S down on target</li> <li>Successful Open Day, increase of 70% attendance, with 16,000 visitors on campus</li> <li>Confirmation &amp; Clearing preparations led to smooth operating period</li> <li>Social media campaign during Confirmation and Clearing appears to have a positive impact on the conversion rate (being monitored)</li> <li>Reassuring messages sent to students in relation to Brexit</li> <li>Fall in UK recruitment</li> <li>Student Union decision to boycott the NSS</li> </ul> <p>Notes added:</p> <ul style="list-style-type: none"> <li>Update to the Marketing &amp; Communications Strategy required to address changes to external demands</li> <li>Implementation of the QMUL model</li> </ul> <p>Owners removed:</p> <ul style="list-style-type: none"> <li>Faculty VPs</li> <li>VP (Res)</li> <li>VP (Int)</li> <li>COO</li> </ul> <p>Lead Officers removed:</p> <ul style="list-style-type: none"> <li>HoSs</li> <li>Head of Doctoral College</li> <li>Head of Admissions</li> <li>MRAG</li> </ul> <p>Risk Group renamed from 'Student experience' to 'Student experience: teaching, learning &amp; assessment'</p> <p>Risk Descriptor removed:</p> <ul style="list-style-type: none"> <li>High quality student experience throughout the student life cycle</li> </ul> <p>New Risk Descriptor added:</p> <ul style="list-style-type: none"> <li>Failure to deliver good student experience for all (UG, PGT &amp; PGR) will lead to non continuation, poor NSS results and poor attainment rates (leading to poor TEF results), and poor reputation. Student Experience encompasses: High quality teaching &amp; learning experience, good support, high quality facilities, focus on student welfare &amp; wellbeing, successful outcomes, effective assessment &amp; feedback and partnerships.</li> </ul> <p>Controls removed:</p> <ul style="list-style-type: none"> <li>Student Experience Advisory Board</li> <li>Effective relationship with Student Union</li> <li>Doctoral College</li> <li>Modifications to targets and action plans</li> </ul> <p>TEF working group established</p> <p>Controls added:</p> <ul style="list-style-type: none"> <li>Students' Union strategy</li> <li>SETLA strategy and plans</li> <li>Employability and success strategy and plans</li> <li>Components of the Estates strategy</li> <li>10 year capital framework</li> </ul> <p>Further Actions removed:</p> <ul style="list-style-type: none"> <li>Progress improved standards for teaching space - lease of Scape building helps in this regard, and plan to stop using Great Hall for teaching from 2017/18</li> <li>Greater coordination on student survey action plans, coordinated via TEF working group. Feedback task and finish group also addressing issues around assessment and feedback</li> <li>Strategy to increase the number of academic teaching staff with teaching qualifications in development following HESA data collection process</li> </ul> <p>Doctoral College monitoring and responding to PG survey results</p> <p>Further Actions added:</p> <ul style="list-style-type: none"> <li>Continue working on a set of measures to improve teaching estate</li> <li>Clear priority on improving retention and success</li> <li>Work to improve the teaching estate and IT</li> </ul> <p>Notes removed:</p> <ul style="list-style-type: none"> <li>Increase in QMSU funding focussed on increase in student success engagements and sports participation</li> <li>Building works on campuses have led to some negative student experiences despite long term investment</li> <li>Successful recruitment has increased pressure on teaching space. In some areas of the institution this has increased significantly</li> <li>2016 QMSU survey broadly positive about student facing services</li> <li>Teaching room improvement project now on pause due to lack of available funds, to be addressed through estates capital planning</li> <li>Library enhancement project due to be completed</li> <li>QMUL Model in phased implementation</li> <li>Teaching Space Utilisation Working Group established</li> <li>The second stage of TEF will include NSS metrics (Teaching, Assessment &amp; Feedback and Academic Support)</li> <li>Long term maintenance backlog</li> <li>Student Union decision to boycott the NSS</li> </ul> <p>Notes added:</p> <ul style="list-style-type: none"> <li>Revise the SETLA strategy</li> <li>Implementation of the QMUL model</li> </ul> <p>Owners removed:</p> <ul style="list-style-type: none"> <li>Faculty VPs</li> <li>VP (Res)</li> <li>COO</li> </ul> <p>Lead Officers removed:</p> <ul style="list-style-type: none"> <li>QMSU Liaison Lead (VP T&amp;L)</li> <li>Director of Estates and Facilities</li> <li>Faculty Deans for Taught Programmes</li> </ul>
2	Student experience: teaching, learning and assessment	5	(5)	4	(4)	4	(4)	4	(4)	↔	<p>Continuing working on a set of measures to improve teaching estate</p> <ul style="list-style-type: none"> <li>Clear priority on improving retention and success</li> <li>Work to improve the teaching estate and IT</li> </ul> <p>Notes removed:</p> <ul style="list-style-type: none"> <li>Increase in QMSU funding focussed on increase in student success engagements and sports participation</li> <li>Building works on campuses have led to some negative student experiences despite long term investment</li> <li>Successful recruitment has increased pressure on teaching space. In some areas of the institution this has increased significantly</li> <li>2016 QMSU survey broadly positive about student facing services</li> <li>Teaching room improvement project now on pause due to lack of available funds, to be addressed through estates capital planning</li> <li>Library enhancement project due to be completed</li> <li>QMUL Model in phased implementation</li> <li>Teaching Space Utilisation Working Group established</li> <li>The second stage of TEF will include NSS metrics (Teaching, Assessment &amp; Feedback and Academic Support)</li> <li>Long term maintenance backlog</li> <li>Student Union decision to boycott the NSS</li> </ul> <p>Notes added:</p> <ul style="list-style-type: none"> <li>Revise the SETLA strategy</li> <li>Implementation of the QMUL model</li> </ul> <p>Owners removed:</p> <ul style="list-style-type: none"> <li>Faculty VPs</li> <li>VP (Res)</li> <li>COO</li> </ul> <p>Lead Officers removed:</p> <ul style="list-style-type: none"> <li>QMSU Liaison Lead (VP T&amp;L)</li> <li>Director of Estates and Facilities</li> <li>Faculty Deans for Taught Programmes</li> </ul>





13	Maintain effective and constructive governance	4	(5)	4	(4)	4	(4)	3	(3)	↓	<p>Risk descriptors removed</p> <ul style="list-style-type: none"> <li>• A successful Higher Education Review by the QAA in 2016</li> <li>• Adherence to the highest standards of business conduct, (including anti-bribery, anti fraud and corruption measures)</li> <li>• Compliance with Tier 1, 2 and 4 visa regulations</li> <li>• Governance of health and safety</li> <li>• Clinical research governance</li> <li>• Compliance with ASPA and EU legislation</li> <li>• Effective risk management</li> <li>• Maverick staff and students</li> <li>• Acceptance of toxic gifts</li> <li>• Key systems lacking resilience until they are migrated onto the new data centres, putting data at risk</li> </ul> <p>Risk descriptors added:</p> <ul style="list-style-type: none"> <li>• Failure to comply with legislation and regulatory requirements</li> </ul> <p>Initial control impact reduced from 5 to 4</p> <p>Controls removed:</p> <ul style="list-style-type: none"> <li>• Anti Bribery policy</li> <li>• Visa process owned by ARCS for students, HR for staff</li> <li>• Health and Safety Committee and Departmental Health and Safety objectives</li> <li>• Health and Safety Directorate Inspections</li> <li>• Use of Internal Audit to drive enhancements</li> <li>• Engagement with UUK RG group and HEFCE to ensure compliance with changing reporting requirements and/or best practice</li> <li>• Animal Welfare &amp; Ethical Review Body (AWERB) - ensuring the highest standards of welfare</li> <li>• Ethics of Research Committee</li> <li>• Joint Clinical Research Board</li> <li>• Task and Finish Group review of Research Misconduct Policy</li> <li>• Data centres</li> <li>• Campus Safety Task and Finish Group</li> <li>• Channel panel in response to counter-terrorism bill</li> <li>• Compliance with modern slavery act</li> <li>• KPMG report on animal welfare</li> </ul> <p>Controls added:</p> <ul style="list-style-type: none"> <li>• Business Continuity Planning</li> </ul> <p>Further Actions removed:</p> <ul style="list-style-type: none"> <li>• Further roll-out of Health and Safety training needs and records system</li> <li>• Development of an internal audit plan is driving faster resolution of outstanding actions</li> <li>• Engagement with UK &amp; Home office IT Security forum</li> <li>• Launched emergency response plan now tested by KPMG and found broadly satisfactory. Process of creating a more robust Business Continuity Plan is in progress</li> </ul> <p>Plan is in progress</p> <ul style="list-style-type: none"> <li>• AWERB - monitoring</li> <li>• Implementation plan for clinical trials</li> <li>• Review the institutional faith policy</li> </ul> <p>Further Actions added:</p> <ul style="list-style-type: none"> <li>• Data protection</li> <li>• One web project</li> </ul> <p>Notes removed:</p> <ul style="list-style-type: none"> <li>• Anti Bribery policy training under review</li> </ul> <p>Staff induction training</p> <ul style="list-style-type: none"> <li>• Development of Building User Groups</li> <li>• Joint Research Management Office policies and procedures review</li> <li>• Medicines and Healthcare Products Regulatory Agency (MHRA) action plan signed off and in process of implementation: reports of implementation progress made to QMUL and Barts Trust quarterly</li> <li>• KPMG review of Tier 1, 2 &amp; 4 visa requirements have indicated broad adherence to UKVI standard with fewer remaining actions required</li> <li>• Waste issues highlighted by Thames Water. Action Plan being developed</li> <li>• Cyber security policy has been approved</li> <li>• HEFCE have assessed our Prevent Duty self-assessment report and have confirmed that the university meets the requirements. Next Chair of ERC appointed</li> <li>• Appointed new Chief Information Officer</li> <li>• QMSE to be trained in how to respond to major incidents</li> </ul> <p>Notes added:</p> <ul style="list-style-type: none"> <li>• Review of Research Services</li> </ul> <p>Owners removed:</p> <ul style="list-style-type: none"> <li>• Chair of Council</li> <li>• QMSE Lead for HR (MS)</li> <li>• VP T&amp;L</li> <li>• COO</li> </ul> <p>Owners added:</p> <p>Risk group amended from 'Failure to develop and implement strategic development projects in support of the College's overarching Strategic Plan' to 'Failure to develop and implement strategic development projects in support of the College's overarching Strategic Plan (significant projects include LSI and joint programmes in China)'</p> <p>Risk descriptors removed:</p> <ul style="list-style-type: none"> <li>• Life Sciences project</li> <li>• SETLA strategy - teaching space redevelopment and capacity enhancement project</li> <li>• Estates plans</li> <li>• Teaching &amp; Learning, Research, International plans</li> <li>• Public Engagement projects</li> <li>• University of London, Institute in Paris (ULIP)</li> <li>• TNE in Paris, Malta Medical School (Malta MBBS), International Law school</li> </ul> <p>Controls removed:</p> <ul style="list-style-type: none"> <li>• PS Strategy</li> <li>• ITSB</li> <li>• Estates Strategy Project Board</li> <li>• VPFRAG, EQB</li> <li>• Life Sciences Strategy Board</li> <li>• Oversight and governance by Council and its committees</li> </ul> <p>Controls added:</p> <ul style="list-style-type: none"> <li>• Planning and Accountability Review</li> <li>• Revised Planning Process</li> </ul> <p>Further Actions removed</p> <ul style="list-style-type: none"> <li>• BSU renovation project to be completed</li> </ul> <p>Further Actions added:</p> <ul style="list-style-type: none"> <li>• Further develop project methodology and financial controls</li> <li>• Effective project governance</li> </ul> <p>Notes removed:</p> <ul style="list-style-type: none"> <li>• Development of enhanced project governance around Life Sciences and Interim Director appointed</li> <li>• SITS redevelopments backlog being addressed</li> <li>• Refurbishment of Maths building not achievable within current budget due to errors in original costing. New proposal for refurbishment and small extension approved August 2016 by QMSE and FIC</li> <li>• Insufficient capital to develop projects required to sustain growth</li> <li>• Significant recent and forthcoming turnover of senior staff</li> <li>• Estates Master Plan broad principles agreed</li> </ul> <p>Owner removed</p> <p>QMSE</p> <p>Owner add:</p> <ul style="list-style-type: none"> <li>• Principal</li> </ul> <p>Lead Officers removed:</p> <ul style="list-style-type: none"> <li>• Director of Estates and Facilities</li> <li>• Director of IT Services</li> <li>• Acad Sec</li> <li>• COO (SMD)</li> <li>• Chief Strategy Officer</li> </ul> <p>Lead Officers added:</p> <ul style="list-style-type: none"> <li>• COO</li> </ul>
14	Failure to develop and implement strategic development projects in support of the University's overarching Strategic Plan	4	(4)	3	(3)	4	(4)	2	(2)	↔	<p>Risk descriptors removed:</p> <ul style="list-style-type: none"> <li>• Life Sciences project</li> <li>• SETLA strategy - teaching space redevelopment and capacity enhancement project</li> <li>• Estates plans</li> <li>• Teaching &amp; Learning, Research, International plans</li> <li>• Public Engagement projects</li> <li>• University of London, Institute in Paris (ULIP)</li> <li>• TNE in Paris, Malta Medical School (Malta MBBS), International Law school</li> </ul> <p>Controls removed:</p> <ul style="list-style-type: none"> <li>• PS Strategy</li> <li>• ITSB</li> <li>• Estates Strategy Project Board</li> <li>• VPFRAG, EQB</li> <li>• Life Sciences Strategy Board</li> <li>• Oversight and governance by Council and its committees</li> </ul> <p>Controls added:</p> <ul style="list-style-type: none"> <li>• Planning and Accountability Review</li> <li>• Revised Planning Process</li> </ul> <p>Further Actions removed</p> <ul style="list-style-type: none"> <li>• BSU renovation project to be completed</li> </ul> <p>Further Actions added:</p> <ul style="list-style-type: none"> <li>• Further develop project methodology and financial controls</li> <li>• Effective project governance</li> </ul> <p>Notes removed:</p> <ul style="list-style-type: none"> <li>• Development of enhanced project governance around Life Sciences and Interim Director appointed</li> <li>• SITS redevelopments backlog being addressed</li> <li>• Refurbishment of Maths building not achievable within current budget due to errors in original costing. New proposal for refurbishment and small extension approved August 2016 by QMSE and FIC</li> <li>• Insufficient capital to develop projects required to sustain growth</li> <li>• Significant recent and forthcoming turnover of senior staff</li> <li>• Estates Master Plan broad principles agreed</li> </ul> <p>Owner removed</p> <p>QMSE</p> <p>Owner add:</p> <ul style="list-style-type: none"> <li>• Principal</li> </ul> <p>Lead Officers removed:</p> <ul style="list-style-type: none"> <li>• Director of Estates and Facilities</li> <li>• Director of IT Services</li> <li>• Acad Sec</li> <li>• COO (SMD)</li> <li>• Chief Strategy Officer</li> </ul> <p>Lead Officers added:</p> <ul style="list-style-type: none"> <li>• COO</li> </ul>

15 Security of people, assets and data in line with current legislation

	5	(5)	4	(5)	4	(5)	3	(3)	↓	<p>Risk Group amended from 'Security of people, assets and data' to 'Security of people, assets and data in line with current legislation'</p> <p>Risk descriptors removed:</p> <ul style="list-style-type: none"> <li>• Appropriate contingency arrangements for facilities and functions</li> <li>- Data security e.g. data hacking</li> <li>- Estate functionality, maintenance and statutory compliance</li> <li>• Fire safety management</li> <li>• Security of people, building and equipment</li> <li>• Terrorism</li> <li>• Damage to reputation</li> </ul> <p>Initial control likelihood reduced from 5 to 4 and current control impact reduced from 5 to 4</p> <p>Control amended from 'Insurance, health &amp; safety, data security, planned maintenance, inspection and alarm testing policy and procedures' to 'Insurance, health &amp; safety policy and procedures, data security, planned maintenance, inspection and alarm testing policy and procedures'</p> <p>Control removed</p> <ul style="list-style-type: none"> <li>• Health and Safety Committee</li> </ul> <p>Further action added:</p> <ul style="list-style-type: none"> <li>• Ongoing development of the long term maintenance strategy</li> </ul> <p>Notes added:</p> <ul style="list-style-type: none"> <li>• Security review</li> </ul>
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