



**Matters arising**

<b>Outcome requested:</b>	Audit and Risk Committee is asked to <b>note</b> the matters arising from the minutes of the meeting held on 03 October 2016.
<b>Executive Summary:</b>	N/A
<b>QMUL Strategy:</b>	Effective governance supports the achievement of all strategic aims.
<b>Internal/External reference points:</b>	N/A
<b>Strategic Risks:</b>	N/A
<b>Equality Impact Assessment:</b>	N/A
<b>Subject to prior and onward consideration by:</b>	By committee only.
<b>Confidential paper under FOIA/DPA:</b>	No
<b>Timing:</b>	N/A
<b>Author:</b>	Rachel Soper, Assistant Registrar (Council and Governance)
<b>Date:</b>	02 November 2016
<b>Senior Management/External Sponsor:</b>	David Willis, Chairman of Audit and Risk Committee

Audit and Risk Committee is asked to **note** the following matters arising from the minutes of the meeting held on 03 October 2016.

### **Matters Arising [ARC2016/02] - 'Deep dive' into emergency planning and business continuity**

Minute 2016.003[b] The table updating the progress of schools, institutes and services in producing business impact analyses and incident response plans was noted. The Committee would receive a further update at its meeting in February 2017.

*Action: Council Secretariat to liaise with Assistant Director Estates and Facilities*

This update has been added to the Audit and Risk Committee Schedule of Business for 2016-17.

### **Strategic risk management [ARC2016/04]**

Minute 2016.004[e] It was **agreed** that the Strategic Risk Management Group should be asked to look at whether expansion within the School of Business and Management could be sustained given the reliance on this area to deliver against stretching recruitment and financial targets.

*Action: Vice-Principal and Executive Dean (Science and Engineering)*

This has been scheduled for discussion by the Strategic Risk Management Group at its meeting in December 2016.

Minute 2016.004[h] In the light of the volume of change since the Committee last reviewed the register in June and the number of areas identified as high risk, it was agreed that the Strategic Risk Register be included in full with the additional reading for Council members.

*Action: Council Secretariat*

The Strategic Risk Register was provided at the Council meeting on 26 October 2016.

### **Report on data quality and returns to HEFCE, HESA and the SLC [Presentation]**

Minute 2016.008[f] The Committee requested further information about the data returns to the Students Loan Company.

*Action: Academic Registrar and Council Secretary*

A note is appended to this report.

Minute 2016.008[g] The Committee discussed whether it should receive assurance reports routinely from senior officers following the sign-off process. It was agreed to explore what would be most useful for the Committee and to bring a proposal to a future meeting.

*Action: Chief Operating Officer*

An update will be reported to the Committee at its meeting on 07 February 2017.

## **Progress report on audit recommendations and areas of non-compliance [ARC2016/08]**

Minute 2016.012[b] The Committee drew attention to two long-standing recommendations: PRO05 relating to procurement; and BMF21 relating to the costing of courses. It was agreed that the Chief Operating Office and the Finance Director would investigate the former case and report back to the Committee, and that the latter could be removed from the monitoring list in light of the work currently being undertaken at faculty level to analyse staff and other costs and inform contribution targets.

*Action: Chief Operating Officer and Finance Director*

The updated internal audit tracker will be presented to the Committee at its meeting on 07 February 2017.

Minute 2016.012[c] The implementation of recommendation ROR05 was now overdue and required a new deadline to be proposed.

*Action: Chief Operating Officer*

The updated internal audit tracker will be presented to the Committee at its meeting on 07 February 2017.

Minute 2016.012[e] The Committee discussed how progress on audit recommendations could be reported most effectively. It was agreed to explore options offline and bring any proposals for a new presentation to a future meeting.

*Action: Chief Operating Officer liaising with Melissa Tatton*

Proposals will be presented to the Committee at its meeting in February 2017

## **Internal Audit Annual Report 2015-16 [ARC2016/09]**

Minute 2016.013[d] Eight reviews, rather than the nine stated, had been completed and the Committee requested that this be corrected in the report.

*Action: KPMG*

The report is being amended prior to submission to HEFCE.

## **Internal audit plan 2016–17 [ARC2016/10]**

Minute 2016.014[d] It was agreed to explore whether it would be useful for the Committee to receive a deep dive presentation about the NSS and other surveys, noting that Council already received regular survey reports.

*Action: Chief Operating Officer*

In light of the reports already received by Council, it has been decided not to schedule a deep dive presentation to the Committee at this time.

Minute 2016.014[e] It was **agreed** to discuss the IT planning review outside the meeting.

*Action: Chief Operating Officer and KPMG*

It has been agreed to postpone this review. A replacement review will be identified and reported to the Committee.

## **Assurance on data shared with the Student Loans Company**

The purpose of validating data that are shared with the Student Loans Company (SLC) is to ensure that public funds can only be accessed by eligible students. This is a shared responsibility between universities and the SLC. By contrast with statutory returns to HEFCE and HESA, the processes focus on data sharing and reconciling sets of data held by the SLC and universities.

Eligibility to access public funds is assessed on three levels:

- the university must be recognised for this purpose by HEFCE;
- the student must be studying an eligible course (this relates to the level and length of the course, and the student's mode of study);
- the student must satisfy the residency requirements.

QMUL establishes which courses are eligible for SLC funding through its course approval process. The information gathered from this is used to populate the SLC database, the UCAS website and the QMUL website. The validations for the annual Key Information Set return to HEFCE ensure that these three datasets are aligned.

It is the SLC's responsibility to assess whether students individually are eligible to access funding. QMUL's role is to match the SLC's assessment to the right student and to confirm that s/he is actively studying. There are a number of steps in place to achieve this:

- QMUL receives daily lists of eligible students (roughly 8,400 students in 2016–17) from the SLC which are loaded into the student records system, in order to reconcile the SLC's data with our own enrolment records;
- QMUL requires students to present written confirmation of SLC funding and formal proof of identity before they can enrol; no funds are released to students by the SLC until after they are fully enrolled;
- QMUL notifies the SLC as soon as a student's circumstances change in a way which affects his/her eligibility for funding;
- a dedicated team within ARCS monitors the enrolment and SLC data on a continuing basis to ensure that there are no issues; this has been especially important recently with the introduction of SLC funding for postgraduate students.