Queen Mary
UNIVERSITY OF LONDON

Strategic Risk Management Report for Audit & Risk Committee

Outcome requested:	Audit and Risk Committee is asked to **note** the termly report on the College's strategic risk management framework.
Executive Summary:	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 at its meeting on 12th January 2016. o Summary Register o Risk Matrix o Change Log In addition, the report also includes the outcome of the SRMG actions from Audit & Risk Committee – November 2015. Actions: o HEFCE Document - Financial Health of the HE Sector o SMD Internal Audit - Recommendations
QMUL Strategy: strategic aim reference and sub-strategies [e.g., SA1.1]	The Strategic Risk Register is aligned to all areas of the Strategic Plan.
Internal/External regulatory/statutory reference points:	It is a HEFCE requirement for QMUL to hold a Strategic Risk Register
Strategic Risks:	QMUL Strategic Risk Register
Equality Impact Assessment:	Not required
Subject to prior and onward consideration by:	QMSE 26 January 2016
Confidential paper under FOIA or DPA	No
Timing:	Termly report to Audit & Risk Committee
Author:	Monique Arthur, Senior Planning Officer David Marks, Deputy Director Strategic Planning
Date:	22nd January 2016
Senior Management/External Sponsor	Prof Edmund Burke (Vice-Principal, Science & Engineering)

Risk Log

The table below is derived from the Strategic Risk Register, to identify to Audit & Risk Committee where exposure to risk has changed between the SRMG meetings of 22nd September 2015 and 12th January 2016.

Increases in risk:

Risk Reference and Group	Reason for change
Risk 1 – Student Recruitment	Current control likelihood increased from 2 to 3 as applications for 2016/17 are lower than expected. In addition, the PGT loan scheme will be made available for students commencing study in 2016/17 but details of the scheme have not been released yet. Delays in announcing the details of the scheme could have an adverse effect on PG recruitment. SRMG had an in-depth discussion to consider what the normal position for student recruitment would be, but feel the changes in Government policy year-on-year have left this risk group to be volatile.
Risk 12 - Cost control, VFM and expenditure	Current control likelihood increased from 1 to 2 as the target margin of 4% was not achieved. The operating surplus target was 15m, whereas the actual operating surplus was £13.1m. Within the IT transformation project there are contractual issues between IBM and QMUL, where contracted out support carries a contractual and financial risk.

Actions from Audit & Risk Committee – November 2015

1. **HEFCE document - Financial Health of the HE Sector**

The Chair of Audit & Risk Committee requested that SRMG consider a document from HEFCE 'Financial Health of the HE Sector', which summaries the most significant risk areas that could adversely affect the financial performance and sustainability of the Higher Education sector. The significant risk areas are:

a) Fall in home/EU student recruitment and retention in an increasingly competitive market
b) Failure to achieve overseas student recruitment targets
c) Further unanticipated public spending cuts in research and/or teaching income
d) Failure to effectively manage major capital investment programmes and their financial impacts
e) Rise in the cost of borrowing and availability of lending
f) Rise in staff and pension costs
g) Non-compliance with visa regulations

The Strategic risk register has been reviewed and can confirm that the risk areas listed above are covered in the Strategic Risk Register.

2. **School of Medicine & Dentistry (SMD) - Internal Audit Report**

The Committee agreed that the recommendations relating to the SMD and Institute risk register audit should be shared with SRMG. The audit recommendations were discussed and SRMG received confirmation that the registers are now fully complete i.e. all actions identified are SMART and there are no missing sections in the registers. SMD will also ensure that all key committees/executive groups have up-to-date terms of reference. This will be completed by the end of February 2016. In addition, the audit recommendations have been shared with the Faculty Operating Officers in Humanities & Social Sciences and Science & Engineering to follow up with their respective schools, ensuring the recommendations are embedded across all faculties.

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

Recruitment and development of students and staff of the highest calibre and potential — 12th January 2016

Reference	Risk Group	Impact	Likelihood	Initial Risk Score	Direction of Travel	Controls	Impact	Likelihood	Residual Risk Score	Direction of Travel	Further Actions and Notes	Owner	Lead Officer	Strategic Objective	Term
1	**Student recruitment** ▪ Number and quality of students distributed across a range of subjects at UG and PG level ▪ PGR students ▪ Recruitment to Life Sciences ▪ Recruitment of international students	5	4	20.0	↔	▪ Marketing & Communications strategy (A) ▪ Faculty and School recruitment target and plans (A) ▪ Doctoral College (B) ▪ International strategy (A) ▪ Life Sciences strategy (B) ▪ Space Management Group (B)	5	3	15.0	↑	**INTERNAL** **Further Actions** ▪ Doctoral College reviewing school targets for PGR students (in progress) ▪ MRAG monitoring recruitment numbers (in progress) ▪ Life Sciences educational provision is developing a model for leadership and infrastructure development by Oct 2015 (in progress) ▪ New PG bursary scheme in place with 110 students recruited. Delays in announcing the details of the PGT loan scheme could have an adverse affect on recruitment (in progress) **Notes** ▪ Enrolment statistics are not positive for 2015/16 intake ▪ Uncertainty over impact of UKVI driven changes to acceptable English language qualifications may damage international student recruitment ▪ Successful Open Day, increase of 70% attendance, with 16,000 visitors on campus, suggesting strong recruitment in Sept. 2016 ▪ Successful clearing period	▪ Faculty VPs ▪ VP (Res) ▪ VP (T&L) ▪ VP (Int) ▪ COO	▪ HoSs ▪ Head of Doctoral College ▪ Head of Admissions ▪ Director of Marketing and Communications ▪ MRAG	1.1, 2.2, 3.3, 4.2, 4.3, 4.4	Long Term
2	**Student experience** ▪ High quality student experience throughout the student life cycle	4	4	16.0	↔	▪ Students' Union strategy (A) ▪ SETLA strategy and plans (A) ▪ Employability and success strategy and plans (B) ▪ Components of the Estates strategy (B) ▪ Student Experience Advisory Board (A) ▪ Effective relationship with Student Union (A) ▪ Doctoral College (B)	3	3	9.0	↔	**INTERNAL** **Further Actions** ▪ Progress improved standards for teaching space (in progress) ▪ NSS Action Plans - now focusing on areas of poor performance (ongoing) ▪ Strategy to increase the number of academic teaching staff with teaching qualifications in development following HESA data collection process (in progress). ▪ Doctoral College monitoring and responding to PG survey results (in progress) **Notes** ▪ Professional Services Student Experience Strategies ▪ SETLA survey released ▪ BI project now providing better retention analytics ▪ Additional Q Review lecture capture in four further rooms ▪ Opened new student enquiry centre ▪ Increase in QMSU funding focussed on increase in student success engagements and sports participation ▪ 0.5% improvement in DHLE stats show improving employability and will aid student recruitment ▪ Pilot project to make unused teaching rooms available for student study (in progress) was a success and will be in place for the new academic year ▪ PAR funding secured for additional resources in 2015/16. ▪ NSS improvement indicates a general positive trend over the past two years ▪ Increases in building works on campus have lead to some negative student experiences despite long term investment. ▪ Successful recruitment has increased pressure on teaching space. In some areas of the institution this has increased significantly. ▪ QMSS survey broadly positive about student facing services ▪ Teaching room improvement project now progressing ▪ Library enhancement project due to complete by September 2016	▪ VP (T&L) ▪ VP (Res) ▪ Faculty VPs ▪ COO	▪ QMSU Liaison Lead (VP T&L) ▪ Director of Estates and Facilities ▪ Faculty Deans for Taught Programmes ▪ Professional Services lead for student experience	1.2, 3.1	Long Term
3	**High quality staff** ▪ Develop and retain high quality staff in the academic disciplines and professional services. ▪ Develop and retain PDRA's and independently funded research fellows	4	2	8.0	↔	▪ HR strategy (B) ▪ CAPD strategy (A) ▪ High potential leaders programme (HPLP) (A) ▪ Implement and monitor research strategy and faculty plans (B) ▪ Marketing and Communications strategy (A)	3	2	6.0	↔	**INTERNAL/EXTERNAL** **Further Actions** ▪ Ensure comprehensive staff development and management training in place (in progress) ▪ CAPD to enhance Leadership development (in progress) ▪ Research strategy in place with implementation plans being developed (in progress) ▪ Agree IoPs for QMUL research strategies (in progress) ▪ More granular budgets being developed for pay review processes within 2015/16 budget (in progress) **Notes** ▪ VFM Pay and Reward project has created a proposal in response to professorial award process enhancement ▪ Launch of shared parental leave policy ▪ Central PS have achieved IIP standard with a plan to roll out across all PS areas ▪ New Head of Schools development programme now launched ▪ Bonus scheme relaunched September 2015 ▪ International staff support policy agreed ▪ Staff survey action plans in place ▪ Online appraisal system successfully rolled out	▪ QMSE Lead for HR ▪ COO ▪ Faculty VPs ▪ VP (Res) ▪ VP (T&L)	▪ Director of HR ▪ COO ▪ HoSs ▪ Director of CAPD ▪ Director of Marketing and Communications	1.3, 2.1, 2.3, 3.4	Long Term

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Research Excellence

4	**Research quantity and quality**	4	4	16.0	↔	▪ Implement and monitor QMUL, Faculty & School research plans. **(A)** ▪ Research strategy - including commitment to diversify **(A)** ▪ Annual Research Reviews **(A)** ▪ Research & Development **(A)**	4	3	12.0	↔	**INTERNAL/EXTERNAL** **Further Actions** ▪ Ongoing detailed analysis of REF outcomes to inform next steps (in progress) **Notes** ▪ Excellent outcome in REF ▪ REF financial settlement maintains status quo, with a decrease of 0.6% offset by other HEFCE allowances ▪ QMUL, faculty and school research plans reviewed and reported on in Annual Research Reviews ▪ Potential impact of comprehensive spending review needs to be quantified although commitment to dual support has been retained for now. ▪ £4.7 million research equipment investment agreed and plans for deployment in development ▪ Next REF likely to be in 2021, guidance yet to be released	▪ VP (Res) ▪ Faculty VPs	▪ HoSs ▪ Faculty Deans for Research	4.1	Medium Term
5	**Development and implementation of the Life Sciences Strategy**	4	5	20.0	↔	▪ Life Sciences Strategy Group **(A)** ▪ Life Sciences communication strategy **(B)** ▪ Life Sciences Academic strategy **(A)** ▪ Estates Strategy **(B)**	4	4	16.0	↔	**INTERNAL** **Further Actions** ▪ Procurement of site and financial strategy (in progress) ▪ Strengthen partnership arrangements (ongoing) ▪ New appointments in Marketing and Communications working with LSI to implement (in progress) ▪ LSI Deputy Directors developing plans (in progress) **Notes** ▪ Estates Strategy Development plan agreed by Estates Project Board ▪ New organisational structure in place for January 2015 ▪ Positive support from government (inc. Dept of Health) is driving an agreed position on land valuation ▪ Change in Trust leadership risks additional delay to the project ▪ £5m successful Catalyst grant is a positive development and is being deployed	▪ CSO ▪ Faculty VPs ▪ VP (Res) (Acting Dir LSI) ▪ Principal	▪ Life Sciences academic & education leads	1.1, 1.3, 2.1, 2.2, 2.3, 2.4, 3.2, 4.1, 5.1, 5.2, 6.1, 6.2	Short, Medium and Long
6	**Innovation and Impact** ▪ Enterprise and entrepreneurship ▪ Evidencing impact	3	4	12.0	↔	▪ Implementation of Research Strategy and Faculty plans **(B)** ▪ QMI Business Plan **(B)** ▪ Public Engagement strategy **(A)** - for student enterprise) ▪ Intellectual property policies **(A)** ▪ Membership of National Centre for Universities and Business (NCUB) **(B)** ▪ Membership of London Higher **(A)** ▪ Tier 1 visa process **(A)**	3	3	9.0	↔	**INTERNAL/EXTERNAL** **Further Actions** ▪ Coordination of impact work across QMUL (ongoing) **Notes** ▪ IP Policy has now been formally approved by Senate ▪ Improved promotion and engagement of QMI with internal and external researchers and partners ▪ Financial model for QMI generated income in development ▪ Bid made to Tower Hamlets in support of the Neuron Pod development ▪ QMSE approved additional investment in technology transfer capability ▪ Additional resource provided to support IP commercialisation ▪ QMI Business Plan agreed with QMSE August 2015 ▪ New IP Policy in place; on-going work with QMI on guidance documents and Faculty implementation ▪ NCUB Membership approved ▪ Continuation of London Higher membership ▪ Additional investment agreed by QMSE to boost IP development and PDC funds ▪ Careers & Enterprise staff paid from 'soft' money of HEIF and project funding ▪ Investing in specialist posts to monitor/support impact ▪ Variable evidence of recording impact	▪ VP (Res) ▪ VP (PE & SE) ▪ Faculty VPs	▪ HoSs ▪ VP (PE & SE) ▪ Director of QMI	2.4, 5.4	Medium Term

Teaching, Learning and Assessment

| 7 | **Design and delivery of high quality portfolio of programmes**
▪ Breadth of programmes
▪ Quality of facilities
▪ Quality of teaching | 5 | 3 | 15.0 | ↔ | ▪ SETLA strategy **(A)**
▪ Taught programmes planning group **(B)**
▪ Quality Assurance Framework including Taught Programmes Board, External Examiners, Annual Programme Review (APR), Periodic Review and Senate **(A)**
▪ Estates strategy **(B)**
▪ IT Transformation project **(B)**
▪ CAPD strategy **(B)**
▪ Market Intelligence Reports **(B)** | 4 | 2 | 8.0 | ↔ | **INTERNAL**

Further actions
▪ Implementation of improved QMPlus and Qreview being delivered (in progress)
▪ SITS, SMART and teaching facilities still work in progress (in progress)
▪ Full implementation of relevant strategies (in progress)
▪ (Opt out) of QReview utilisation adopted across QMUL. Task and Finish Group developing ideas to support future student growth including support from timetabling, ARCS and Estates and Facilities (in progress)
▪ £1million enhancement project will in 2015/16 create templates for high quality teaching rooms. First implementation and beginning of rolling programme. Feasibility Project launched to increase number of workstations and PCs in the Library (in progress)

Notes
▪ Lecture capture and DDA project complete
▪ Successful £5m STEM bid to develop teaching facilities has been completed
▪ JP Morgan funding in support of student internships
▪ £1.6m Library refurbishment now approved. Project Working Group has been established.
▪ QM Plus stage 3 improvement project now complete
▪ Higher than expected growth may put pressure on timetabling and therefore teaching capacity in suitable rooms | ▪ VP (T&L) | ▪ Acad Sec
▪ Faculty Deans for Taught Programmes
▪ Director of Estates and Facilities
▪ Director of IT Services | 3.1, 3.2, 3.3, 3.4, 4.2, 4.3 | Short - Medium Term |

Public Engagement and Reputation

| 8 | **Commitment to public engagement**
▪ Promoting the College's values to the public, community, businesses and government
▪ Growing and improving the quality and profile of public engagement activities | 4 | 3 | 12.0 | ↔ | ▪ Public Engagement strategy **(A)**
▪ Marketing and Communications strategy **(A)** | 4 | 1 | 4.0 | ↔ | **INTERNAL/EXTERNAL**

Further Actions
▪ Establish common systems for large PE projects (in progress)

Notes
▪ VP Advisory Group to start Jan 2015
▪ Confirmation of core public engagement funding now achieved
▪ M&C strategy launched in March 2015
▪ Institutional website Content Management System is on target for delivery in 2015/16
▪ Applying for NCCP watermark | ▪ VP (PE & SE)
▪ COO | ▪ Director of Estates and Facilities
▪ Director of Marketing and Communications
▪ Director of Centre for Public Engagement | 5.1, 5.2, 5.3 | Short - Medium Term |

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9	**Reputational Development and External Relations** ▪ International reputation and relations ▪ London Living Wage ▪ Environmental sustainability ▪ Short and long term development projects ▪ Engaging potential and past students	5	3	15.0	↔	▪ Marketing and Communications strategy (A) ▪ Development and Alumni strategy (B) ▪ CAPD strategy (A) ▪ Public Engagement strategy (A)	4	2	8.0	↔	**INTERNAL/EXTERNAL** **Notes** ▪ QMUL ranked in top 100 universities in the world in the QS World University Rankings ▪ QMUL ranked in top 10 UK institutions in REF 2014 ▪ QMUL performance was six places lower in Guardian league table compared to 2014/15. Faculties considering responses to negative student feedback that has driven this performance ▪ QMUL ranked top in London for Russell Group for NSS ▪ Adverse press coverage	▪ QMSE Lead for Estates (RL) ▪ VP (PE & SE) ▪ VP (Res) ▪ VP (Int) ▪ Principal ▪ COO	▪ Equality & Diversity Manager ▪ Head of Sustainability ▪ Ethics Committee ▪ VPRAG ▪ Director of Marketing and Communications ▪ Director of Development ▪ Director of Marketing and Communications	1.4, 4.1, 5.1	Medium - Long Term
10	**Partnerships** ▪ International ▪ NHS - Barts Health, UCLP ▪ UK academic partnerships e.g. Warwick ▪ Commercial & Community ▪ BUPT and Nanchang educational partnerships ▪ Membership of the University of London ▪ Genomics England	5	4	20.0	↔	▪ Utilising the QMUL Collaborative Provision Framework (B) ▪ Ensuring effective use of Educational Partnership Board, (A) ▪ Representation on Barts Health NHS Trust Board and UCLP Board (A) ▪ Appointing VP International (A) ▪ Developing appropriate international partnerships (B) ▪ Strong engagement with NHS governing bodies (A) ▪ International Strategy (A) ▪ Transnational Education Strategy (B) ▪ Engagement with governance, direction and strategy of University of London (A) ▪ Engagement with the Drapers (A) ▪ Membership of LEP (Local Enterprise Partnership) (C) ▪ Internal and external joint steering committees for TNE (B)	5	3	15.0	↔	**EXTERNAL** **Further Actions** ▪ Ongoing discussions on LEP membership (ongoing) **Notes** ▪ Malta project has not received 2016/17 GMC approval. A revised submission is due on 18th December, outcome to be received by 18th January 2016 ▪ Genomic England partnership working and focussed on £26m MRC grant ▪ BUPT relationships remain difficult ▪ BH NHS Trust subject to special measures within NHS; significant personnel changes, potentially disrupting normal working relationships ▪ Changes in Chinese policy is affecting partnerships ▪ Annual report on UCLP to QMSE has been submitted, outcome expected in February 2016 ▪ International Strategy has been published ▪ Adverse occurrences in partnerships	▪ CCVPs (inc VP Int) ▪ Faculty VPs	▪ COO (SMD) ▪ Dean for China Operations ▪ Director of Marketing and Communications ▪ Academic Registrar	4.1	Long Term

Financial strength through a balanced portfolio of activities

Reference	Risk Group	Initial risk before any controls				Controls	Residual risk with current controls				Further Actions and Notes	Owner	Lead Officer	Strategic Objective	Term
11	**Sustainable income streams for activities** ▪ Volume and overhead recovery of increasingly diversified research grant income ▪ Volume and margin achieved through the delivery of teaching activity ▪ Impact on QM of the external funding environment ▪ Surplus levels achieved in support of Capital funding ▪ Sustaining and developing commercial income ▪ Philanthropic income (development) ▪ Sustaining and increasing teaching income ▪ Accurate reporting of student numbers to ensure appropriate levels of grant income	5	5	25.0	↔	▪ Develop a strategy to maximise overhead recovery on grants (A) ▪ Implement QMI strategy (B) ▪ Creation of a 5 year financial forecast and financial strategy to achieve 7% surplus (B) ▪ 5 year Capital Plan (B) ▪ Research strategy (A) ▪ Research Support strategy (B) ▪ Engagement with UUK and Russell Group monitoring of and contribution to USS pension consultation (A) ▪ Implement business development strategy (B) ▪ Delivery of the Residential Strategy and Estates Strategy (B) ▪ Development and Alumni strategy (B) ▪ Space Management Group (B)	4	3	12.0	↔	**INTERNAL/EXTERNAL** **Further Actions** ▪ Development of Research Grant Management System project - funded within ITTP 14/15 spend and conclusion now confirmed for 2015/16 (in progress) ▪ JRMO working with academics to maximise overhead recovery in grants and commercial collaborations (ongoing) ▪ Maintenance of £15m surplus target for 14/15 financial year to protect capital investment plan is still looking achievable (in progress) ▪ Work is being undertaken to enable the use of either a private placement or a bond to fund the potential life sciences project and rating has been obtained to allow this to progress when ready (in progress) ▪ Annual review of progress against Fundraising target & Development Strategy and Finance & Investment Committee shows continued above target performance (in progress) ▪ Final negotiations in support of Alumno Stratford 400 bed scheme still not completed as the developer lost its funder after the Heads of Terms were agreed. The developer had to find a new funder and is trying to pass on the costs (in progress) ▪ Space Management Group to undertake space audit; develop a space standard and look to increase useable space through the Estates Master plan (in progress) ▪ Research strategy now finalised; implementation at Faculty level (in progress) ▪ BDU Director to initiate necessary meetings and work (in progress) **Notes** ▪ Modelling of space utilisation using scientia now possible, providing an insight into options to increase space utilisation & identify future shortfalls in space needs ▪ HEFCE cut to research and STEM transition funding of £750k yet to be mitigated. ▪ 14/15 underlying surplus less than budget £15m ▪ Recruitment for 15/16 does not look positive ▪ QMI strategy underway approval given around new Business Plan ▪ Comprehensive spending review does not appear to be as challenging as once feared. ▪ Issues around revenue/capital definitions may impact on surplus position ▪ Forecast one at £1.8million below target ▪ Recognition of research overheads subject to project review	▪ Faculty VPs ▪ COO ▪ QMSE Lead for Finance (SG) ▪ VP (Res)	▪ HoSS ▪ Director of Estates and Facilities ▪ Director of Finance ▪ COO ▪ Director of Development ▪ Director of Research & Business Services ▪ VP (T&L) ▪ CEO of QMI	6.1, 6.2, 6.3, 6.4	Short - Long Term
12	**Cost control, VFM and expenditure** ▪ Achieving value for money for all QMUL expenditure including staffing and non-pay costs ▪ Minimising carbon usage ▪ Procurement discipline and process ▪ Financial approval processes. ▪ Understanding and anticipating impact of pensions liability ▪ Treasury management, cash management to deliver efficient debt management ▪ Business planning and investment case appraisal based on the utilisation of accurate management information and robust forecasting.	5	4	20.0	↔	▪ College and Professional Services Financial Controls Improvement Plan (A) ▪ Procurement strategy and compliance plan (A) ▪ Carbon Management plan (B) ▪ Business Intelligence project (A) ▪ Development of long-term finance strategy; (B) ▪ Engagement with UCEA/USS re: pension liability (A) ▪ Planning and Accountability Review (PAR) process (A) ▪ IT Transformation Plan (B) ▪ Estates Strategy (B)	4	2	8.0	↑	**INTERNAL** **Further Actions** ▪ VFM projects: Process Improvement Project, VFM Project, PS Admin Review Project, Reward and Recognition Review (ongoing) ▪ Implementation of FRS102 and enhancement of senior financial support to Faculties progressing well with the potential to strengthen our balance sheet (ongoing) ▪ Consultancy support funded through PAR to review QMUL performance against own carbon management plan to create gap analysis (ongoing) **Notes** ▪ Strategic Project Board and Gateway process implementation ▪ ITSIB review performance against ITTP and Estates Strategy Board review progress against Estates Strategy ▪ Monthly finance meetings with Directorates, COO and Finance to facilitate improved financial planning and forecasting ▪ Audit and Risk Committee provided positive assessment of VFM in 2014/15 ▪ COO office developing template for Faculty VFM groups and enhanced VFM report and QMUL VFM Strategy as a result of KPMG review ▪ BI project will complete by end July 2015 with future development overseen by a BI Strategy Group ▪ Target wage percentage achieved for 14/15 (target: to reduce from 60.9% to 59.9%, actual: reduced to 59.15%). £1.75m of procurement savings achieved (slightly under budget). Target margin of 4% not achieved (target: operating surplus of £15m, actual: underlying surplus of £13.1m) ▪ Contractual issues between IBM and IT transformation	▪ QMSE Lead for Finance (SG) ▪ COO ▪ QMSE Lead for IT (PMcO) ▪ QMSE Lead for Estates (RL)	▪ Director of Finance ▪ Director of HR ▪ Director of IT ▪ Director of Estates and Facilities	6.1	Short - Long Term

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		Impact	Likelihood	Initial Risk Score	Direction of Travel		Impact	Likelihood	Residual Risk Score	Direction of Travel					

Governance, Business Continuity and Data Security

13	**Maintain effective and constructive governance** ▪ A successful Higher Education Review by the QAA in 2016 ▪ Adherence to the highest standards of business conduct, (including anti-bribery, anti fraud and corruption measures) ▪ Compliance with Tier 1, 2 and 4 visa regulations ▪ Governance of health and safety ▪ Clinical governance ▪ Compliance with ASPA and EU legislation ▪ Effective risk management ▪ Maverick staff and students ▪ Acceptance of toxic gifts ▪ Key systems lacking resilience until they are migrated onto the new data centres, putting data at risk	5	4	20.0	↔	▪ Review of the effectiveness of Council and its committees (A) ▪ Academic governance and the quality assurance framework (A) ▪ Anti Bribery policy (A) ▪ Visa process owned by ARCS for students, HR for staff; (B) ▪ Health and Safety Committee and Departmental Health and Safety objectives; (A) ▪ Health and Safety Directorate Inspections (A) ▪ Use of Internal Audit to drive enhancements (A) ▪ Engagement with UUK RG group and HEFCE to ensure compliance with changing reporting requirements and/or best practice (A) ▪ AWERB - ensuring the highest standards of welfare (A) ▪ Ethics of Research Committee (A) ▪ Internal Audit plan (A) ▪ Prioritisation of key and most vulnerable systems for migration onto DC1 and DC2. Use of old hardware to stabilise vulnerable systems (B) ▪ Campus Safety Task and Finish Group (B) ▪ Channel panel in response to counter-terrorism bill (A)	4	3	12.0	↔	**INTERNAL** **Further Actions** ▪ Planning for Higher Education Review 2016 has now received additional resources (in progress) ▪ Development of Health and Safety training needs and records system is still in progress however has now been successfully linked to appraisal process (in progress) ▪ Review of visa management processes audited in August 2014 by Internal Audit. Action Plans in place (in progress) ▪ Development of an internal audit plan is driving faster resolution of outstanding actions (in progress) ▪ Engagement with UK & Home office IT Security forum (ongoing) ▪ Launched emergency response plan now tested by KPMG and found broadly satisfactory. Process of creating a more robust Business Continuity Plan is in process (in progress) ▪ AWERB - monitoring (ongoing) **Notes** ▪ Anti Bribery policy training; staff induction training ▪ Development of Building User Groups ▪ Joint Research Management Office policies and procedures ▪ Medicines and Healthcare Products Regulatory Agency (MHRA) action plan signed off and in process of implementation ▪ KPMG review of Tier 1, 2 & 4 visa requirements have indicated broad adherence to UKBA standard with fewer remaining actions required ▪ Relaunch of safeguarding policy ▪ External review of Council completed December 2014. Action Plan in development ▪ Waste issues highlighted by Thames Water. Action Plan being developed ▪ 'Prevent' duty legislation in relation to universities' responsibilities in relation to terrorism and radicalisation is now understood and an action plan is in process of development. A working group led by the Academic Registrar is in process of completing an institutional risk assessment ahead of the new 2015/16 academic year. ▪ Research committee - renewed membership ▪ HEFCE now announced as the sector regulator for 'prevent' duty. The 'prevent' risk register and action plan is currently under development. The self-assessment progress report will be submitted on 22 January. The final risk assessment and action plan to be submitted on 1 April. ▪ Action plan to achieve compliance with modern slavery act in progress ▪ Following the publication of the HE Green Paper, the QAA audit will not happen in November 2016 and we await further information on the new proposals for the future of quality assessment, consulted upon at the end of 2015.	▪ Chair of Council ▪ QMSE Lead for HR (MS) ▪ VP T&L ▪ COO	▪ Academic Registrar and Council Secretary ▪ Director of HR ▪ Director of OSHD ▪ Director of Finance ▪ COO (SMD) ▪ Director of Research and Business Services	1.3, 3.1, 4.4, 6.1	Short Term - Long Term
14	**Failure to develop and implement strategic development projects in support of the College's overarching Strategic Plan** ▪ Life Sciences project ▪ IT Transformation Programme ▪ SETLA strategy - teaching space redevelopment and capacity enhancement project ▪ Estates plans ▪ Teaching & Learning, Research, International plans ▪ Public Engagement projects ▪ University of London, Institute in Paris (ULIP) ▪ TNE in Paris, Malta Medical School (Malta MBBS), International Law school	4	3	12.0	↔	▪ College Strategy with Strategic Aims implementation plans and IOPs (A) ▪ ITSIB; (A) ▪ Estates Strategy Project Board (A) ▪ Planning and Accountability Review (A) ▪ VPRAG, EQB (A) ▪ Life Sciences Strategy Board (A) ▪ Oversight and governance by Council and its committees (A)	4	2	8.0	↔	**INTERNAL** **Further Actions** ▪ BSU renovation project to be completed (in progress) ▪ PS Strategy now being implemented (in progress) ▪ Estates Master Plan currently being consulted on consultation nearly complete, recruitment of architects underway with delivery of plan expected spring 2016 (in progress) ▪ Final stage of ITTP funding agreed for 2015/16 and a refocused IT Strategy Board and Strategy now in process of being developed (in progress) **Notes** ▪ Development of enhanced project governance around Life Sciences and Interim Director appointed ▪ SITS redevelopments backlog being considered	QMSE	▪ Director of Estates and Facilities ▪ Director of IT Services ▪ Acad Sec ▪ COO (SMD) ▪ Chief Strategy Officer	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	**Security of people, assets and data** ▪ Appropriate contingency arrangements for facilities and functions - Data security e.g. data hacking - Estate functionality, maintenance and statutory compliance ▪ Fire safety management ▪ Security of people, building and equipment ▪ Terrorism	5	5	25.0	↔	▪ Insurance, health and safety, 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 (B) ▪ Police and security service liaison (A) ▪ Data security policies and procedures and IT resilience plan (B)	4	2	8.0	↔	**INTERNAL** **Further Actions** ▪ Creation of data centre network; fire risk assessment process and associated maintenance plan (in progress) ▪ Enhanced relationships with senior police leadership in relation to personal security are ongoing (in progress) ▪ Freedom of Speech policy signed off by Council in April 2014 which will be supported by an updated event management procedure updated in December 2015 (in progress) ▪ Review of IT governance in collaboration with BIS (in progress) **Notes** ▪ Completion of data centre migration project on target for July 2015 with only one of the major systems outside of the data centre ▪ Potential global infections risk ▪ Creation of a Cyber Security Committee and Information Governance Group ▪ Notification from ICO that no further action will be taken in relation to 2014 hacking incident ▪ Emergency response plan launched and further training now provided ▪ Significant disruption caused Agresso system issues with data centre now resolved ▪ Business continuity plan now in development ▪ Cyber security training to be launched in January 2016	▪ QMSE Lead for Estates (RL) ▪ COO ▪ QMSE Lead for IT (PMcO) ▪ QMSE Lead for Health and Safety (RL)	▪ Director of Estates and Facilities ▪ Director of ITS ▪ Director of Occupational Health and Safety	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 Marketing & Communications	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 Morag Shiach
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 — The period in which the risk is likely to occur:
Short — Up to 2 years
Medium — Likely to continue for 2 to 5 years
Long — Lasting more than 5 years
Enduring risks, which are likely to continue indefinitely, should be expressed as Long Term.

Impact — The effect of the risk occurring:
1 — **Negligible**
2 — **Minor**
3 — **Moderate** See Guidance page.
4 — **Major**
5 — **Catastrophic**

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

Controls in Place — 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 — Whether the situation has changed and in what way:
New or N/A — 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
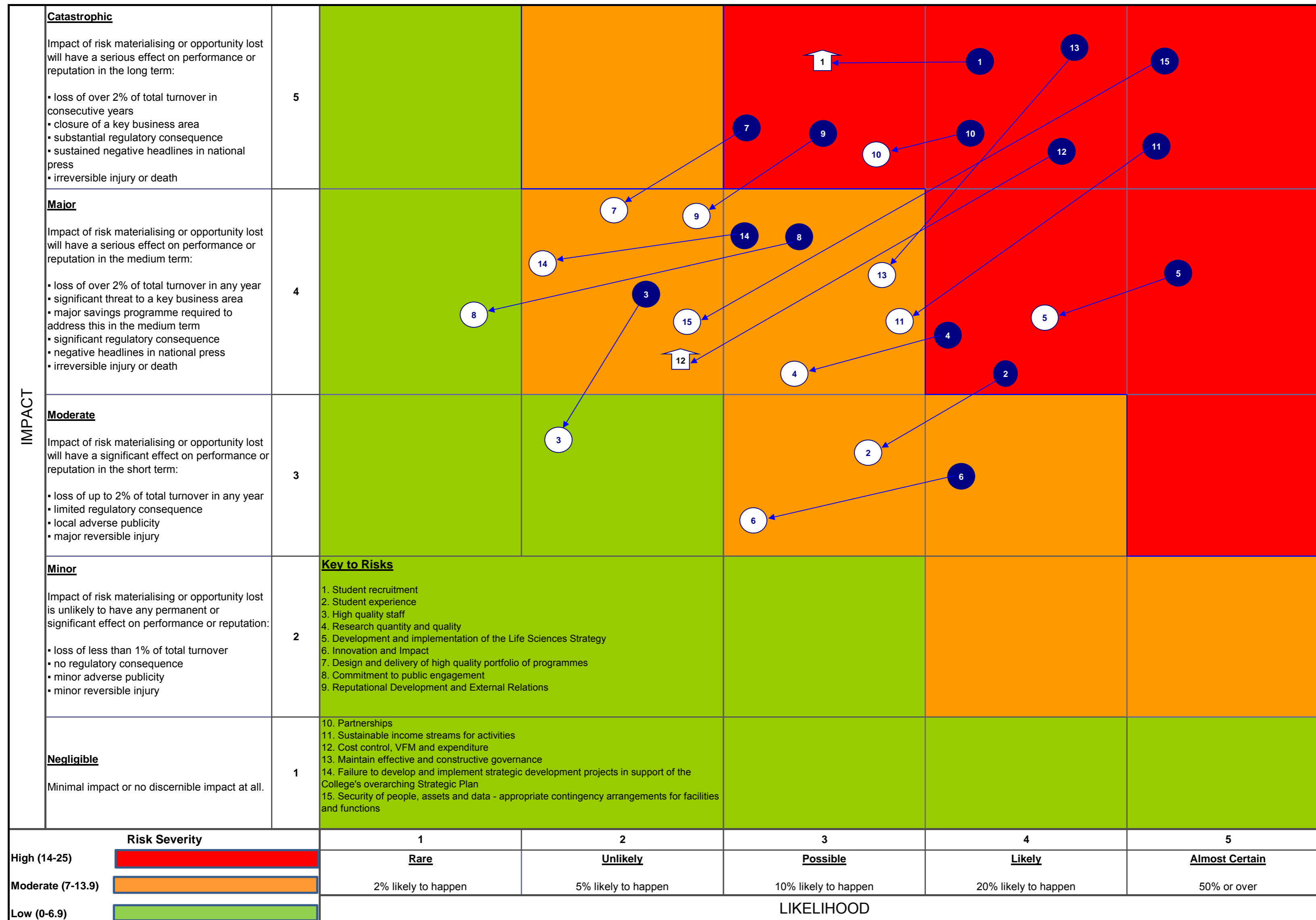↓ — Indicates an improving position

QMSE members with responsibility for Professional Support Service departments:

QMSE Lead for Estates & Facilities (RL)	Prof Rebecca Lingwood (Estates & Facilities)
QMSE lead for HR (MS)	Prof Morag Shiach (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 (SG)	Prof Simon Gaskell (Finance)
QMSE Lead for QMIL (WJS)	Prof Bill Spence (Queen Mary Innovation Ltd)

Number of risks listed	15
Number of Moderate risks	10
Number of 'High' risks	3

Risk Matrix: Risks before and with current controls

IMPACT

Catastrophic

Impact of risk materialising or opportunity lost will have a serious effect on performance or reputation in the long term:

- loss of over 2% of total turnover in consecutive years
- closure of a key business area
- substantial regulatory consequence
- sustained negative headlines in national press
- irreversible injury or death

5

Major

Impact of risk materialising or opportunity lost will have a serious effect on performance or reputation in the medium term:

- loss of over 2% of total turnover in any year
- significant threat to a key business area
- major savings programme required to address this in the medium term
- significant regulatory consequence
- negative headlines in national press
- irreversible injury or death

4

Moderate

Impact of risk materialising or opportunity lost will have a significant effect on performance or reputation in the short term:

- loss of up to 2% of total turnover in any year
- limited regulatory consequence
- local adverse publicity
- major reversible injury

3

Minor

Impact of risk materialising or opportunity lost is unlikely to have any permanent or significant effect on performance or reputation:

- loss of less than 1% of total turnover
- no regulatory consequence
- minor adverse publicity
- minor reversible injury

2

Negligible

Minimal impact or no discernible impact at all.

1

Key to Risks

1. Student recruitment
2. Student experience
3. High quality staff
4. Research quantity and quality
5. Development and implementation of the Life Sciences Strategy
6. Innovation and Impact
7. Design and delivery of high quality portfolio of programmes
8. Commitment to public engagement
9. Reputational Development and External Relations
10. Partnerships
11. Sustainable income streams for activities
12. Cost control, VFM and expenditure
13. Maintain effective and constructive governance
14. Failure to develop and implement strategic development projects in support of the College's overarching Strategic Plan
15. Security of people, assets and data - appropriate contingency arrangements for facilities and functions

Risk Severity		1	2	3	4	5
High (14-25)		**Rare**	**Unlikely**	**Possible**	**Likely**	**Almost Certain**
Moderate (7-13.9)		2% likely to happen	5% likely to happen	10% likely to happen	20% likely to happen	50% or over
Low (0-6.9)				LIKELIHOOD		

Gross risk assessed <u>before</u> Controls

Net risk assessed with Current Controls

Gross risk = Net risk

Direction of travel since previous report

Strategic Risk Register Change Log 22nd September 2015 vs 12th January 2016

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 (4)	5 (5)	3 (2)	↑	Control amended from 'Development of International Strategy (B)' to 'International Strategy (A)' 'Current control likelihood increased from 2 to 3 as applications for 2016/17 are lower than expected. In addition, the PGT loan scheme will be made available for students commencing study in 2016/17 but details of the scheme have not been released yet. Delays in announcing the details of the scheme could have an adverse effect on PG recruitment. Further action removed 'Planning has started in relation to removal of the SNC'. Further action amended from 'Plan to deal with New PG bursary scheme in place' to 'New PG bursary scheme in place with 110 students recruited. Delays in announcing the details of the PGT loan scheme could have an adverse affect on recruitment. Note amended from 'Enrolment statistics are positive for 2015/16 intake' to 'Enrolment statistics are not positive for 2015/16 intake and it is not clear why' Note amended from 'Uncertainty over impact of UKBI driven changes to acceptable English language qualifications and implementation of biometric cards may damage international student recruitment' to 'Uncertainty over impact of UKBI driven changes to acceptable English language qualifications may damage international student recruitment Note removed: ▪ Current application statistics suggest QMUL will require 800 students in clearing, better than pervious years, but there is some uncertainty about recruitment strategies post student number control' ▪ New PGT (home) bursary scheme very successful
2	Student experience	4 (4)	4 (4)	3 (3)	3 (3)	↔	Note removed 'UCU have rejected a 2015 pay offer so potential likelihood of industrial action in Autumn 2015'. Note amended from 'Successful recruitment may increase pressure on teaching space' to 'Successful recruitment has increased pressure on teaching space. In some areas of the institution this has increased significantly'. Notes added: ▪ QMSS survey broadly positive about student facing services ▪ Teaching room improvement project now progressing ▪ Library enhancement project due to complete by September 2016
3	High quality staff	4 (4)	2 (2)	3 (3)	2 (2)	↔	Further actions removed: ▪ Online appraisal system successfully trialled in Professional Services. Ready to roll out in 2015 ▪ Staff survey action plans completed and to be reported on to Council in May 2015 Note amended from 'Central PS have achieved IIP standard' to 'Central PS have achieved IIP standard with a plan to roll out across all PS areas' Note removed 'Online appraisal system will improve visibility of completion' Note added 'Online appraisal system successfully rolled out'
4	Research quantity and quality	4 (4)	4 (4)	4 (3)	3 (3)	↔	Note amended from 'Potential impact of comprehensive spending review needs to be quantified' to 'Potential impact of comprehensive spending review needs to be quantified although commitment to dual support has been retained for now'. Notes added: ▪ £4.7 million research equipment investment agreed and plans for deployment in development. ▪ Next REF likely to be in 2021, guidance yet to be released
5	Development and implementation of the Life Sciences Strategy	4 (4)	5 (4)	4 (4)	4 (4)	↔	Note amended from '£5m successful Catalyst grant is a positive development' to '£5m successful Catalyst grant is a positive development and is being deployed'
6	Innovation and Impact	3 (3)	4 (4)	3 (3)	3 (3)	↔	Note added: ▪ Careers & Enterprise staff paid from 'soft' money of HEIF and project funding ▪ Investing in specialist posts to monitor/support impact ▪ Variable evidence of recording impact
7	Design and delivery of high quality portfolio of programmes	5 (5)	3 (3)	4 (4)	2 (2)	↔	Note amended from £750k enhancement project will in 2014/15 create templates for high quality teaching rooms. First implementation and beginning of rolling programme. Feasibility Project launched to increase number of workstations and PCs in the Library to '£1million enhancement project will in 2015/16 create templates for high quality teaching rooms. First implementation and beginning of rolling programme. Feasibility Project launched to increase number of workstations and PCs in the Library' Note amended from 'Successful £5m STEM bid to develop teaching facilities. Funding from 2015' to 'Successful £5m STEM bid to develop teaching facilities has been completed. Note removed: ▪ Timetable delivered without issues of 2013 cycle ▪ Additional £750k enhancement for teaching rooms budgeted in 2015/16
8	Commitment to public engagement	4 (4)	3 (3)	4 (4)	1 (1)	↔	Note added 'Applying for NCCP watermark' Note removed 'Control of the Pathology Museum'

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			
9	Reputational Development and External Relations	5	(5)	3	(3)	4	(4)	2	(2)	↔	▪ QMUL ranked in top 100 universities in the world in the Times Higher World University Rankings ▪ Adverse press coverage
10	Partnerships	5	(5)	4	(4)	5	(5)	3	(3)	↔	Control amended from 'Development of International Strategy (B)' to 'International Strategy (A) Note amended from 'Annual report on UCLP to QMSE outstanding' to 'Annual report on UCLP to QMSE has been submitted, outcome expected in February 2016' Note amended from 'International Strategy in final stages of development' to 'International Strategy been published' Note amended from 'Malta project has not received 2016/17 GMC approval' to 'Malta project has not received 2016/17 GMC approval. A revised submission is due on 18th December, outcome to be received by 18th January 2016' Note amended from 'BUPT relationships appear to be improving' to 'BUPT relationships remain difficult' Note added 'Adverse occurrences in partnerships'
11	Sustainable income streams for activities	5	(5)	5	(5)	4	(4)	3	(3)	↔	Note amended from 'Final negotiations in support of Alumno Stratford 400 bed scheme near completion' to 'Final negotiations in support of Alumno Stratford 400 bed scheme still not completed as the developer lost its funder after the Heads of Terms were agreed. The developer had to find a new funder and is trying to pass on the costs' Note amended from '14/15 budget surplus indicated at £16.3m, or at £15m excluding exceptional items' to '14/15 underlying surplus less than budget £15m Note amended from 'Recruitment for 15/16 looks positive' to 'Recruitment for 15/16 does not look positive' Note amended from 'Comprehensive spending review (CSR) proves challenging'. to 'Comprehensive spending review (CSR) does not appear to be as challenging as once feared'. Notes added: ▪ Issues around revenue/capital definitions may impact on surplus position ▪ Forecast one at £1.8million below target ▪ Recognition of research overheads subject to project review Notes removed: ▪ Budget process for 2015/16 complete with commitment to deliver £17.4m surplus' ▪ HEFCE clawback of £600k in relation to 2012/13 grant will decrease reported surplus in 2014/15 ▪ Accounting issue in relation to finance lease will also decrease reported surplus by £2.4m without impacting on operational performance or cash balance ▪ HEFCE teaching budget cut of £750k will reduced 2014/15 operational surplus ▪ Ongoing concern re 2015/16 HEFCE cuts
12	Cost control, VFM and expenditure	5	(5)	4	(4)	4	(4)	2	(1)	↑	Current control likelihood increased from 1 to 2 as the target margin of 4% was not achieved. The operating surplus target was 15m, the actual = £13.1m. In addition there are contractual issues between IBM and IT transformation, contracted out support carries a contractual and financial risk. Note amended from 'Implementation of FRS102 and enhancement of senior financial support to Faculties' to 'Implementation of FRS102 and enhancement of senior financial support to Faculties progressing well with the potential to strengthen our balance sheet' Note amended from 'Audit and Risk Committee provided positive assessment of VFM in 2013/14' to 'Audit and Risk Committee provided positive assessment of VFM in 2014/15' Note amended from 'Target margin and percentage usage targets achieved for 14/15. £1.75m of procurement savings achieved (slightly under budget)' to 'Target wage percentage achieved for 14/15 (target: to reduce from 60.9% to 59.9%, actual: reduced 59.15%). £1.75m of procurement savings achieved (slightly under budget). Target margin of 4% not achieved (target: operating surplus of £15m, actual: £13.1m) Notes removed: ▪ Revised approach to student recruitment forecasting, fee setting and retention ▪ Approval of Agresso enhancements and the enablement of the implementation of the Scheme of Delegation

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		
13	Maintain effective and constructive governance	5 (5)	4 (4)	4 (4)	3 (3)	↔	Control amended from 'Channel panel in response to counter-terrorism bill' (B) to (A) 'Note removed 'Negative Medicines and Healthcare Products Regulatory Agency (MHRA) inspection will lead to urgent requirements for changed approach; risk of reputational damage however additional resource now provided for trial auditor and a senior Task and Finish Group chaired by VP Research is reviewing QMUL approach to this agenda'. Note amended from 'HEFCE now announced as the sector regulator for 'prevent' duty. The 'prevent' risk register and action plan is currently under development' to 'HEFCE now announced as the sector regulator for 'prevent' duty. The 'prevent' risk register and action plan is currently under development. The self-assessment progress report will be submitted on 22 January. The final risk assessment and action plan to be submitted on 1 April'. Note added: ▪ Medicines and Healthcare Products Regulatory Agency (MHRA) action plan signed off and in process of implementation' ▪ Action plan to achieve compliance with modern slavery act in progress
14	Failure to develop and implement strategic development projects in support of the College's overarching Strategic Plan	4 (4)	3 (3)	4 (4)	2 (2)	↔	Note amended from 'Estates Master Plan currently being consulted on consultation nearly complete, recruitment of architects underway' to 'Estates Master Plan currently being consulted on consultation nearly complete, recruitment of architects underway with delivery of plan expected spring 2016' Note amended from 'final stage of ITTP funding agreed for 2015/16 and a refocused IT Strategy Board and Strategy now needs to be developed' to 'final stage of ITTP funding agreed for 2015/16 and a refocused IT Strategy Board and Strategy now in process of being developed' Note added 'SITS redevelopments backlog being considered'
15	Security of people, assets and data	5 (5)	5 (5)	4 (4)	2 (2)	↔	Control Business Continuity Plan moved from (B) to (A) Note removed 'Ongoing creation of a Business Continuity Strategy has now been supported by additional resource supported by QMSE 'Note amended from 'Freedom of Speech policy signed off by Council in April 2014 which will be supported by an updated event management procedure' to 'Freedom of Speech policy signed off by Council in April 2014 which will be supported by an event management procedure updated in December 2015' Note added 'Cyber security training to be launched in January 2016'