



RISK MANAGEMENT COMMITTEE

15 October 2015

Minute

Present: Mr Hugh Edmiston, Director of Corporate Services (Convener)
Professor Jake Ansell
Dr Bruce Nelson, College Registrar, CSE
Dr Catherine Martin, College Registrar, CHSS
Assistant Principal Dr Tina Harrison

In attendance: Mr David Kyles, Chief Internal Auditor
Mr Jim Nisbet on behalf of Dr Catherine Elliott
Mr Lee Hamill on behalf of Mr Phil McNaull
Mr Simon Marsden on behalf of Mr Tony Weir
Mr Alan Wigglesorth (shadowing Dr Martin)
Dr Lewis Allen, Head of Court Services
Ms Kirstie Graham, Deputy Head of Court Services

Apologies: Dr Robert Black
Mr Gavin Douglas

1 Minute

Paper A

The Minute of the meeting held on 4 May 2015 was approved as a correct record.

2 Convener's Business

Verbal

The Director of Corporate Services reported the comments at the Court meeting on 22 June 2015, which approved the University Risk Register 2015, regarding the Committee's rating of the risks associated with failure to comply with procurement legislation and staff or union industrial action, which may be too high. It was noted that there was always an element of judgement in assigning a risk rating and the comments would be taken into consideration when reviewing these risks.

The Convener further reported that Dr Black, the lay Court member, has intimated he is content to no longer attend the Risk Management Committee and the Convener of the Audit and Risk Committee is content with this as Audit and Risk Committee have a high level of confidence in the executive management of the risk management function, under the Risk Management Committee's leadership. It was agreed to consider this as part of the Committee effectiveness review.

SUBSTANTIVE ITEMS

3 Summary of Colleges, support groups and Subsidiary Companies annual questionnaire returns Paper B

It was noted that this return formed part of the assurances provided to Court to enable it to sign off the Annual Report and Accounts for the year to 31 July 2015.

The Committee considered the responses provided by each College and Support Group to the questions. Staff disciplinary issues were noted and there was discussion on whether there was sufficient accessible data for a trend analysis as it would be helpful to contextualise the data to see if there was an increase in the volume and type of incidents.

It was agreed that the returns would be synthesised into a single report to be presented to the next meeting of the Audit and Risk Committee.

4 Report on the Annual Audit Returns 2014/15 Paper C

The Committee noted the Law and Regulation return, the potential duplication with the Annual Questionnaire return and agreed that the return should combined with the Annual Questionnaire return next session, subject to timing.

5 Report on Major IT Services 2014/15 Paper D

The Committee considered the report and the overall statement that the “University’s central IT services continue to provide a stable platform for the University’s business”.

The Committee noted the ongoing growth in system usage and especially mobile devices. In response to the continuing challenge to Information Security, a new Chief Information Security Officer had been appointed and was intended to lead a small team to strengthen this area in terms of both technical capabilities and outreach and support.

6 Procurement assurance Paper E

The Committee considered the comprehensive report, providing information on transactions during 2014-15 and outlining actions required to address new legislative compliance requirements in 2015-16.

There was discussion of the need to develop procurement mechanisms to facilitate and encourage compliance and concern around the increasingly onerous requirements in relation to lower limits. Members considered whether additional resource was

required to support risk mitigation in this area and it was agreed that this should be kept under review by the Committee and escalated to Audit and Risk Committee if necessary.

7 Annual Report on Health and Safety 2014/15 **Paper F**

The committee considered the report and noted the ongoing engagements with the Health and Safety Executive (HSE). The Committee further noted a visit by a new enforcing authority, the Department of Transport Land Security Division, who have enforcement duties under counter-terrorism legislation, in relation to the transport of Category A infectious substances by road and rail. The Inspector was impressed with the University's procedures, which compared favourably with practice at other large Universities, both in England and in Scotland.

There was discussion of maintaining a record of health and safety training at a workforce level, which was linked to a larger issue of capturing and recording continual professional development. The Committee noted the HR transformation project, however this was expected to take at least two years to produce an implementable system. In the interim, Corporate Services are reviewing a possible package to address this need, which could be shared with the Colleges.

8 Risk Management Committee report for year end 31 July 2015 **Paper G**

The Committee considered the report summarising the activities of the Risk Management Committee during the year ended 31 July 2015 to provide assurances on the effective management of the University's risks and approved the report for onward transmission to the Audit and Risk Committee.

9 Effectiveness Review **Paper H**

As part of the annual review of its effectiveness, Court agreed a process to check on the effectiveness of its Standing and Thematic Committees. A pro-forma was circulated to all members of the Risk Management Committee seeking comments based around the current terms of reference of the Committee.

Members recommended revisions to the membership of the Committee, with job titles requiring updating and that a lay member of Court should no longer be included in the membership. It was agreed to recommend these revisions to the Terms of Reference to the Audit and Risk Committee for approval.

ROUTINE ITEMS

10 Programme of risk reviews

Paper I

The Committee noted the proposed programme of reviews, considered the individuals identified to provide a risk review and agreed to consider an updated paper at the next meeting.

There was discussion on inviting individuals to present, particularly in relation to red risks and it was felt this should normally be on an exception basis, where the Committee continued to have concerns about the residual risk. It was agreed to invite the Director of Procurement to present to the next meeting, as this was a new risk.

11 Emerging risks

Paper J

The Committee considered emerging risks, including changes in EU legislation for data protection. It was noted that the implications of the new legislation were unclear until tested by case law, so it was agreed to note and keep a watching brief on this risk.

Other emerging risks were the number of initiatives and the continued growth in numbers and consequent impact on the Schools which it was agreed also required to be noted.

The Committee considered an emerging risk template in relation to failure to comply with Consumer Protection law, as per Competition and Markets Authority (CMA) advice for higher education providers. Members noted the risk and were content that it was being tightly managed, with a range of appropriate mitigating actions, including the establishment of a student consumer protection working group to oversee progress and demonstrate the University's commitment to compliance. It was agreed to feedback to the risk owner the Committee's view that the risk was being well managed and as a consequence, both the residual risk and likelihood could be reduced from 3 to 2.

ITEMS FOR FORMAL APPROVAL/NOTING

12 Joint Audit and risk Committee and Risk Management Committee meeting

Paper K

The Committee noted the Note of the meeting.

13 Date of next meeting

The next meeting will be held on Monday, 1 February 2016 at 2.00pm in the Elder Room, Old College.