

UEA Unit (School, Faculty, Division)	Department	Risk Category	ETP Risk Action (Note ETP Use Only)	Faculty Risk Action	Faculty Risk Category	Risk	Mitigations	Likelihood	Impact	Current Risk rating	Risk Owner	UEA Master consolidated register updated. Date	Responsible	Accountable	Consulted	Informed	RISK ASSURANCES (evidence of how mitigations are effectively controlling the associated risk)	Further Mitigations	Likelihood	Impact	Risk rating	Further mitigations due by	Completion date	Risk review date	Movement	
HUM	All	Financial Viability				Budget Performance: meeting income targets Reduced income. Failure to meet agreed income targets will have a severe negative financial and resource impact on Schools, the Faculty and University financial plans. Failure to meet agreed income targets will have a severe negative impact on the University financial plan to 2030..	Manage budget performance through business as usual controls established by the Faculty's planning framework and planning cycle. (The development of strategic plans, financial planning and budget setting, resource management, risk management, and performance management). To continue to address risk through maintaining flexibility in the Faculty and School budgets, where possible; carefully planning any high cost financial commitments beyond any period of secured income. (For example, by using fixed term contracts, effective use of AT staff, careful planning of scholarships). Allocation of budgets to empower Associate Deans. Some schools have allocated budgets to Executive level role-holders. Our aim is to widen and share our collective understanding of financial and resource issues, and drive improvements in planning and to staff culture. HUM reviewed its workload management arrangements in 2018. One of the anticipated benefits will be to shift use of the workload model from being a data capture mechanism to become a planning tool, which will have a positive impact on resource allocation and budget setting.	4	4	16	PVC-HUM								HUM is developing and implementing a financial development plan with the aim of returning the Faculty to its approved financial position over the medium term period. 13 new course proposals have gone through - or are in - the course approval process during the current academic year, with more to follow in 2019/20, and which will add 789 students to the plan and offset shortfalls elsewhere. Within the scope of the development plan, the Faculty has put in place the following planned activities, projects or business tools: 1. Development of new courses 2. To review and revise HUM's approach to course approval to shorten the start to end process time 3. Course competitors market intel project 4. Digital ambassadors' project 5. HUM Web implementation support 6. Development of a workload model management information suite of reports to support planning and resource allocation 7. Develop a suite of open courses or Mini-MOOCs to explicitly support student recruitment onto new courses 8. We will review our module offer; model a student demand-led options module offer and enrolment; model optimal course and module offer to balance with staff resource for delivery 9. Improve the HUM Planning Framework, cycle, delivery and review; develop staff expertise in planning (learning from our experience, professional development); conduct further analysis of targets for student intake; re-introduce school portrait reports into planning round; we will further develop the activity based budget setting approach introduced in the current round, introduce increased scrutiny on post release support within Faculty part of the process 10. Develop SSR analysis; department level SSR data; build an activity based SSR to compare to planning metric version. 11. Student continuation analysis to feed into retention activities and student transitions activities	3	4	12				
HUM	All	Financial Viability				Turbulence and uncertainty in student recruitment cycles Fluctuations in income from this stream, reduced income if targets are not met. Reduced income and underperformance of Faculty/School budgets. Creates difficult issues around maintaining planned SSR. Challenging to move staff resource to support movement of student numbers from target as numbers fluctuate in clearing. Sometimes numbers increase or decrease significantly within a short timeframe - from mid August to end September. HUM is concerned about the removal of the unconditional offer tactic this year, highlighting LDC/CW as particularly vulnerable.	Ongoing monitoring and review of issues by FARME and the HUM Faculty Executive. Working with ARM to review and improve, on a continuous basis, processing protocols with regard to student recruitment. Building flexibility into managing the Faculty and School targets by working to an in-balance overall target which meets our financial target for the Faculty and Schools/Institute, thereby creating some latitude in bringing in final numbers at the end of the recruitment cycle. Increase planned activity by Schools/Institute, Admissions and Marketing colleagues to identify opportunities for recruitment and maximising impact, directing increased staff resource to support Applicant Days, school visits, etc.	3	4	16	AD Admissions							To improve the management of the planning process so as to address and mitigate fluctuations in the market and student recruitment numbers, with the aim of ensuring stability. HUM Course intelligence and competitor analysis project. The objective is to develop a deeper and fuller understanding of the student recruitment market with the aim of increasing our market share. Conduct target setting analysis to more fully understand issues and challenges.	3	4	12					
HUM	All	Financial Viability				REF2021: Insufficient number of high quality Impact Case Studies Schools are unable to make a full staff submission to REF2020 and/or low quality ICS are submitted, lowering the overall GPA.	Faculty and School to prioritise plans for developing Impact Case Studies. HUM Plans must join up with the RIN schedule for identifying and supporting Impact Case Studies, drawing on internal funding where available. HUM should encourage RIN to provide adequate administrative support and leadership to facilitate the development of high-quality ICS. Workload to support Impact has been included in the Workload Management Review and tariff arrangements included in revised version of the model.	3	3	9	AD R							Since some UoAs look unlikely (as of November 2019) to have enough 3*4* ICS to cover the number of colleagues we have been planning to enter for them, plans to mitigate are in development with Schools/Units, including developing of new ICS and moving colleagues and ICS between UoAs. The aim is to submit the best possible submission for a research base of c210 FTE. A further round of external impact review (Feb/March 2020) will be held to select and refine selected ICS ready for submission.	3	3	9					
HUM	All	Reputation				Improving Student Experience Negative impact on student recruitment and admissions Poor performance in NSS and League Tables Poor student continuation rates Failure to map into agenda set by VC's Mental Health Task Force: negative knock on effect on student and staff well being Failure to fully impact on Fixing the Basics agenda	Ensure compliance with the new Code of Practice for Student Representation. Student Union representatives invited to Faculty Executive at least twice a year. Student transitions programme. Advising system. L&T Quality Assurance, TEF, TEP preparations, Progression support, curriculum/assessment	3	3	9	PVC-HUM							Established a HUM Student Experience Group for 2019/20	3	3	9					
HUM	All	Reputation				Improving Staff Culture Failure to map into agenda set by VC's Mental Health Task Force: negative knock on effect on staff well being Don't fully engage with People and Culture strand in next phase of the UEA Plan Failure to fully impact on Fixing the Basics agenda	Athena Swan (Institutional Silver) University has signed up to Advance-HE's Race Equality Charter HRD policies and procedures, training Health and Safety policy and procedures Staff surveys and feedback HUM workload management framework Communication strategy	3	3	9	PVC-HUM								3	3	9					
HUM	All	Reputation				Variable performance in League tables and student surveys: Employability Currently HUM is particularly vulnerable on Employability in League Table performance, leading to: Reputational damage Poor student experience Adverse affect on student (and staff) recruitment Uncertainty generated by move from DLHE to Graduate Outcomes	Ensure compliance with the Code of Practice for Student Representation. Fully promote Student Surveys to relevant student audiences. Currently HUM is particularly vulnerable on Employability in League Table performance. Following UEA's Employability strategy, our plan aims to: 1. Expand work-based and work-related learning 2. Increase employer and alumni involvement 3. Enhance employability in the curriculum, with a special focus on assessment diversification. 4. Incorporate Employability through the entire student cycle and beyond, 5. Strengthen extra-curricular employability activities and life skills.	3	3	9	AD Employability							Established a HUM Student Experience Group for 2019/20 Set up governance, management and administrative arrangements in HUM to support increase in number of workbased placements. Hire a group of interns to work on students' perceptions of assessment, in order to inform our aim to diversify assessment.	3	2	6					
HUM	All	Reputation				Variable performance in League tables and student surveys: Assessment and Feedback Currently HUM is particularly vulnerable on Assessment and Feedback in League Table performance, leading to: Reputational damage Poor student experience Adverse affect on student (and staff) recruitment.	Ensure compliance with the Code of Practice for Student Representation. Fully promote Student Surveys to relevant student audience. Currently HUM is particularly vulnerable on Assessment and Feedback in League Table performance. To fully engage with University QA policy development, projects or other initiatives related to improving assessment and feedback.	3	3	9	AD L&T							Establish a HUM Student Experience Group for 2019/20	3	3	9					

HUM	All	Financial Viability			<p>Failure to achieve CHASE 2 Funding</p> <p>Loss of approximately 17 PGR students (12 CHASE/5 match funded).</p> <p>Negative impact on training, research environment, reputation, REF performance.</p>		2	4	8	AD PGR								2	4	8					
HUM	All	Resources, Infrastructure & Business Continuity			<p>The Sky House Building Project</p> <p>Ensuring HUM obtains sufficient space of high quality and which is fit for purpose and meets the needs of academic colleagues, PGRs, administrative and technical staff and students.</p> <p>Potential to undermine the overall good performance of the Faculty/Schools/Institute, compromise the performance of staff, potentially contribute to poor cultures within units, and increased admin and other costs.</p>	<p>The PVC-HUM and Senior Faculty Manager to fully engage with the project board. Ensuring engagement with the Faculty Executive so that Heads and Associate Deans are fully briefed and aware of plans and developments.</p> <p>Heads of School and School Managers to encourage full engagement by staff and PGRs with consultation process led by the Consultants and Estates.</p> <p>Liaise with SSF – the other key stakeholder re new building to ensure joint engagement with the project, consultants and Estates.</p> <p>Ensuring excellent consultation with the Faculty, both staff and students.</p>	2	3	6	HUM SFM									2	3	6				
HUM	All	Reputation and Viability			<p>Brexit</p> <p>The key issue is uncertainty created by current political situation. Short-term impact on:</p> <ol style="list-style-type: none"> 1. Travel 2. Field trips 3. Disruption to critical supplies 4. Visa arrangements for staff <p>Potential medium term impact on</p> <ol style="list-style-type: none"> 1. Research and partnerships 2. Erasmus 3. Funding <p>Mitigations are planned at University level, led by the Chief Resources Officer, but the Faculty must ensure it's requirements and responses join up to and comply with the University's approach and guidance.</p>	<p>The Faculty received University level advice and guidance from the Chief Resources Officer.</p> <p>Mills & Reeve Briefing (University solicitors) for EU Nationals available on intranet which provides legal information about the Settlement Scheme. The University has agreed to reimburse the application fee to staff.</p> <p>Information on Brexit for staff and students on the portal at https://portal.uea.ac.uk/brexit</p> <p>Schools (School Managers) have checked travel, field trips, visits that are due to take place at end to October and put in place specific mitigations.</p> <p>HUM and schools have checked against critical suppliers.</p> <p>Senior Faculty Manager attends CRO Chaired Brexit Group.</p>	4	4	16	PVC-HUM				Yes						4	4	16			
HUM	All	Financial Viability			<p>Research Grant Income</p> <p>Failure to meet research grant income targets will have negative impact on HUM's financial position.</p>	<p>Schools prioritise plans (RDs via annual RAP) for grant applications and support the development of competitive applications through mentoring and Workshops.</p>	3	3	9	ADR									3	3	9				