UEA Unit (School, Faculty, Division)	Department	Risk Category	Risk	Mitigations (Business as Usual Controls)	Likelihood	Impact	Current Risk rating	Risk Owner	Informed	Further Mitigations (Additional actions)	Likelihood	Impact	Risk rating	To Risk Committee on (date)	Risk Management Committee outcome regarding further action - Agreed / Rejected	Further actions due by	Completion date	Risk review date
HUM	All	Reputation and financial	**Brexit** The key issue is uncertainty created by current political situation. Short-term impact on: 1. Travel 2. Field trips 3. Disruption to critival supplies 4. Visa arrangements for staff Potential medium term impact on 1. Research and partnerships 2. Erasmus 3. Funding 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 Unniversity's approach and giudance.	The Faculty recieved University level advice and guidance from the Chief Resources Officer. Mills & Reeve Brieing (University solicitors) for EU Nationals available on intranet which provides legal information about the Settlement Scheme. The Univeristy has agreed to reimburse the application fee to staff. Information on Brexit for staff and students on the portal at https://portal.uea.ac.uk/brexit Schools (School Managers) have checked travel, field trips, visits that are due to take place at end to March or early April and put in place specific mitigations. Will do the same for current extended June deadline for UK to exit EU. HUM and schools have checked against critical suppliers. Senior Faculty Manager attends CRO Chaired Brexit Group.	4	4	16	PVC-HUM	Yes		4	4	16					
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 though 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 managment 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 postive impact on resource allocation and budget setting.	4	4	16	PVC-HUM	Yes	HUM is developing and implementing a financial recovery 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 process during the current academic year, which will add 789 students to the plan. Within the scope of the recovery plan, the Faculty has put in place the following planned activities, projects or business tools: 1. Development of new courses 2. 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 project 6. Development of a workload model management information suite of reports to support planning and resource allocation 7. Develop a suite of Mini-MOOCs to explicitly support 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. Inability to maintain planned growth of student and staff numbers at desired level of quality (tariff).	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 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 and UCAS Fairs.	3	4	16	AD Admissions	Yes	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.	3	4	12					
HUM	All	Resources, Infrastructure & Business Continuity	**The Sky House Building Project** Ensuring that in the proposed Estate Plan and the relocation of the Faculty to the Lasdun Wall extension, HUM obtains sufficient space of high quality and which is fit for purpose and meets our needs for planned growth. Staff in schools will not be accommodated within the same building. Space will be squeezed and staff will be expected to share offices, limited meeting and social spaces, PGR space and resources. Undermine overall performance of the Faculty/Schools/Institute. Compromise the performance of staff. May contribute to poor cultures within units. Unable to accommodate planned increases in staff and student numbers. Increased admin costs.	The PVC-HUM and Senior Faculty Manager to fully engage with the project and the work of the Consultants and Estates. Liaise with SSF – the other key stakeholder re new building to ensure joint engagement with the project, consultants and Estates. Ensuring excellent consultation with the Faculty Executive so that Heads are fully briefed and aware of plans and developments.	2	3	6	HUM SFM	Yes	Development of a robust interim space plan for addressing space issues up to 2022/3.	2	3	6					
HUM	All	Reputation	**Variable performance in League tables and student surveys: Employability** Currently HUM is particularly vunerable on Emplyability in League Table performance, leading to: Reputational damage Poor student experience Adverse affect on student (and staff) recruitment<	Ensure compliance with the new 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. Our plan aims to: 1. Create a strong and positive narrative about HUM graduate prospects; 2. Develop employability in the curriculum 3. Develop stronger links between employability and teaching and learning; 4. Develop programmes with work-based opportunities 5. Develop PGT and PGR employability activities 6. Encourage increased student engagement with CCEN 7. Develop PGT and PGR employability activities	3	3	9	AD Employability	Yes		3	3	9					
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 new 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	Yes		3	3	9					

Faculty	School	Category	Risk	Controls / Mitigation	L	I	Score	Owner	Active	Comments	L	I	Score
HUM	All	Reputation / Financial Viability	**REF2021: Insufficient number of high quality Impact Case Studies** Schools are unable to make a full staff submission to REF2020	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. 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	Yes	Since some UoAs look unlikely (as of May 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 between UoAs. The aim is to submit the best possible submissin for a research base of c220 FTE.	3	3	9
HUM	All	Financial Viability	**Low PGR Recruitment** Failure to meet planned targets. Reduced income. Loss of value that PGR students add to the research culture of the Faculty. Low recruitment of PhD students will impact on international league table performance and REF. Reputational damage.	1. Set realistic student intake targets in the planning round. The target is now set at a more reasonable and achievable level. 2. Increase the number of high-quality PGR students in HUM 3. Diversify funding sources. 4. Ensure all staff and students are well-supported intellectually, pastorally and administratively 5. More closely integrate PGR and staff research ith strategic research priorities, and developing HUM's research environment 6. Support PGR training and career development 7. Ensure there is a clear, efficient and supportive management structure for the HUM Graduate School.	3	3	9	AD PGR	Yes		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 Failure to map into agenda set by VC's Mental Health Task Force: negative knock on efffect 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	Yes	Faculty Executive to discuss proposal to establish HUM Student Experience Committee, with Senior Advisors, WP academics, student transitions leads, school admin representation, AD L&T, student union and student representation, professional service representation, other? Could provide link to Univeristy Student Experience committee, enhance Student Voice, support HUM planning and preparations for Transitions Week in September 2020, etc. If the proposal is supported the next step would be to draft terms of reference for discussion at the next Faculty Executive.	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 efffect 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 HRD policies and procedures, training Health and Safety policy and procedures Staff surveys and feedback HUM workload mangement framework Communication strategy	3	3	9	PVC-HUM	Yes		3	3	9
HUM	All	Financial Viability	**Research Grant Income** Failure to meet research grant income targets will have negative impact on HUM's finacial position.	Schools prioritise plans (RDs via annual RAP) for grant applications	3	3	9	ADR	Yes		3	3	9
HUM	All	Financial Viability	**Augar Review** Potential threat to funding for Foundation Year.	There is currently uncertainty relating to the politcal future of the Augar Review but we need to follow developments closely and start internal discussions and analysis of impact and options.	4	4	16	HUM SFM	Yes		3	4	12