

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Department: IC Student Union

RISK ID: ADMIN 001 2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Organisational silos. Administration need to work across teams and this means knowing how they operate and their specific requirements.	Threat	If departments work independently the Admin Team do not always know what is happening from the onset and can be brought into projects quite late. This results in a poor response time.	Mrs Angela D'Souza	7	6	42	30	Treat	30-NOV-2017	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	Keeping line of verbal communication open. Requesting regular updates of pending changes/requirements wherever possible. Department bulletins help with information sharing. Maintaining positive interactions with departmental staff.		
Pending	Need to try and avoid receiving late communications. Admin Team to request early involvement in projects. Early intervention will ensure better response time. Send out Requisition orders to departments to complete so we know if they are going to need resources/ admin time allocated. Opportunities to shadow teams to see how they work operationally. Possibly request to be invited to departmental meetings. Request to be included in departmental updates. Request to be included in communications regarding annual work plans so Admin Team can factor in appropriate time/ resources.	31-JAN-2018	

RISK ID: ADMIN 002 2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Limited understanding of College practice/ protocols.	Threat	The majority of our operational tasks are undertaken through College processes. We need to know what these are and how to access them to be able to signpost staff and students accordingly.	Mrs Angela D'Souza	5	6	30	25	Treat	30-NOV-2017	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	Spending time building positive relationships with key College stakeholders and arranging regular meetings to receive updates to ensure the Admin Team is up to speed on any College initiatives and process reviews.		
Pending	Source appropriate training where needed to ensure we know how to navigate the College systems.	30-NOV-2017	

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Control Type	Control Description	Control Review Date	Control Owners
Pending	Build directory of College contacts so the Admin team have an accurate point of contact to action requests or signpost to. This will eliminate time wasted trying to get problems resolved.	31-DEC-2017	

RISK ID: ADMIN 003 2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Improve internal systems and processes so staff fully understand ICU procedures.	Threat	As there are so many new staff members the Admin Team needs to ensure every staff member knows what we do and how we fit into the organisation. Without this there is a real risk that staff will become over reliant on Admin support and this in turn will result in inefficiencies in the workplace.	Mrs Angela D'Souza	8	7	56	40	Treat	31-OCT-2017	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	We are tackling prioritising workloads and streamlining simple routinised tasks by defining which member of the team is best to action them. We are reviewing the team's job roles and ensuring we understand what is expected of each of the roles. We are creating process sheets to help staff independently action requests for themselves.		
Pending	We are going to create a staff handbook that will act as a source of information offering guidelines and signposting to complete fundamental administrative tasks.	15-NOV-2017	

RISK ID: Activities -001-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
External Hires of minibuses	Threat	The college have changed insurers and the new insurance are not prepared to insure our minibuses out to external organisations Control measures are to focus on the College Hires, as make sure we can recover lost income from them.	Mr Iain Pullar	5	10	50	60	Treat		Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	Finance - Fail to meet income target (MM) Control is to focus on the college hires to regains lost income from external hires. There is enough efficiency to be made in college process to increase income from college.		

RISK ID: Activities-002-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
-------	-----------	------------------	------------	--------	------------	---------------	-----------	-----------	------------------	-------------	--------------

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Overcapacity of current staff	Threat	Staff are extremely busy at the moment, and will be busy for the rest of term time. With the number of clubs and societies that we manage, we will be constantly busy all term. Staff will need breaks, and possible even more resources to keep up with current demand for CSP's. If we cannot keep up with demand, we will struggle to satisfy as many clubs and societies as possible.	Mr Iain Pullar	5	7	35	60	Treat		Active	
-------------------------------	--------	--	----------------	---	---	----	----	-------	--	--------	--

Control Type	Control Description	Control Review Date	Control Owners
Current	Staff Recruitment / Retention / Morale (MM) The control in this measure is ensure staff are well supported with resources including student staff. It is important to review the amount of permanent resources the team have as well.		

RISK ID: Activities-003-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Saftey of CSP's	Threat	The CSP's do a wide range of activities. The Activities department need ensure that they are all safe. If they are not safe, it can be serious consequences for the CSP and the ICU.	Mr Iain Pullar	8	3	24	75	Treat		Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	Student Experience (MM) Each Club and society gets trained in safety management and also have to submit risk assessments for their activity. The control measure is for the ICU to ensure that these activities are safe, and that the CSP's follow what is written down on the RA.		

RISK ID: Activities-004-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Crises management of CSP's	Threat	If a CSP is away on a trip or a tour and something happens, the ICU needs to be able to respond manage the situation effectively.	Mr Iain Pullar	7	7	49	80	Treat		Active	

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

		However, level of incident various a lot.									
--	--	---	--	--	--	--	--	--	--	--	--

Control Type	Control Description	Control Review Date	Control Owners
Current	<p>Student Experience (MM)</p> <p>the control is the ICU emergency procedure for trips and tours.</p> <p>Implementing this procedure when it is necessary and following the guidelines.</p> <p>Control is to continually review this procedure to ensure we cover all eventualities.</p>		

RISK ID: Activities-005-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Injury from activity	Threat	<p>If a student is participating in an activity and gets injured.</p> <p>Injuries range in variety and severity</p>	Mr Iain Pullar	4	8	32	80	Treat		Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	<p>Student Experience (MM)</p> <p>CSP's to go on first aid course that the ICU provide.</p> <p>High risk activity to have a first aider present.</p> <p>High risk activity to ensure the CSP complies it's governing body.</p>		

RISK ID: Activities-006-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Driver of Minibus causing accident/ injury	Threat	Driver of minibus causing injury or accident while driving an ICU minibus	Mr Iain Pullar	7	4	28	50	Treat		Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	<p>Student Experience (MM)</p> <p>Minibus drivers to go through a ICU test to ensure they are good drivers.</p>		

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Control Type	Control Description	Control Review Date	Control Owners
	Minibus drivers have insurance details		
	Minibus drivers have emergency procedure list and are taught the emergency procedures on trips and tours training		

RISK ID: Education & Welfare-001-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Wellbeing Representatives being exposed to students in mental health crisis	Threat	Wellbeing Representatives are elected to campaign to address causes of wellbeing issues such as mental illness, financial stress and difficulty forming positive working relationships. Experience has demonstrated that students can perceive any student representative or volunteer to be someone to whom personal information can be disclosed, including distressing information such as self-harming, suicidal ideation and similar behaviours. Additionally, there have been occasions on which elected Constituent Union representatives have become excessively engaged in supporting individual students rather than signposting them to the appropriate professional services within College or externally.	Miss Fran Hyatt	6	8	48	40	Treat	01-DEC-2017	New	

Control Type	Control Description	Control Review Date	Control Owners
Current	Student Experience - Well Being (MM)		
Pending	This risk will be addressed in two main ways: The first: by training and supporting elected Wellbeing Representatives to be aware of this risk, be able to identify when it may be about to occur, be able to signpost students to the appropriate services, and be aware of support available for them in their role. Training will include the above as critical learning points, which will be strongly iterated and repeated. Training will be compulsory for Wellbeing Representatives to ensure this message is known by every elected volunteer within this programme. The second: by clearly communicating whenever possible to our membership that the role of their Wellbeing Representatives is not to offer individual support or counselling, but to identify and tackle systemic and chronic issues with departments. Wellbeing Representative information online will reinforce this message and direct students in crisis to	01-DEC-2017	

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Control Type	Control Description	Control Review Date	Control Owners
	the appropriate professional services.		

RISK ID: ICUFIN-001-YU2

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
IF we do not support the development and progression of Finance staff THEN we will not be able to recruit and retain the Finance staff resources required.	Threat	Without meeting our staff development targets it will be difficult to attract and retain good quality staff resources, which are essential for maintaining core Finance services and enabling the Finance manager to work on other Finance targets.	Mr Edmond Burke	7	4	28	25	Treat	15-DEC-2017	Pending	

Control Type	Control Description	Control Review Date	Control Owners
Current	<p>1. Development of process notes which provide a skeleton outline of the major tasks to be undertaken to ensure a continuity of service</p> <p>2. Competitive salary and benefits</p> <p>3. Ensure PDR's are up to date</p> <p>4. Reviewed 1 April 2016 Recruitment of new Finance Manager needed to strengthen senior Finance resource; individual should be in place by 31 July.</p> <p>Some process notes have been completed.</p> <p>---- Reviewed 9 November 2016 Finance Manager is in place; Process notes not fully completed</p>		
Current	Staff - Recruitment / Retention / Morale		
Pending	<p>1. Review job descriptions to ensure adequate level of job satisfaction and ensuring that work load are fairly distributed</p> <p>2. Establish a clear list of departmental deliverable(s) for service users and stakeholders - rank list according to importance</p> <p>3. Finance team staff development - greater role in accounts production and supporting OTs with higher risk events.</p> <p>4. Document accounts production procedures.</p> <p>5. Develop SAP functionality to provide a basic monthly accounts pack.</p>	30-JUN-2017	Malcolm Martin

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Control Type	Control Description	Control Review Date	Control Owners
	<p>Reviewed 9 November 2016 by Malcolm Martin</p> <ol style="list-style-type: none"> 1. Current JD's are in place for all Finance staff 2. SLA not in place <p>Reviewed 27 Jan 2017 by Edmond Burke</p> <ol style="list-style-type: none"> 1. As above. 2. As above. 3. Plan being formulated. 4. Outstanding. 5. Contact made with YUMA - review options. 		

RISK ID: ICUFIN-002-YV1

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
IF customer service targets are not met THEN there is a risk of reputational damage and loss of goodwill.	Threat	If the Union fails to identify and respond to the real needs of its members, all its other efforts are in vain. Unless we can track and report on this we are exposed to charges of being out of touch, unresponsive, or irrelevant.	Mr Edmond Burke	6	5	30	25	Treat	15-DEC-2017	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	<ol style="list-style-type: none"> 1. Assign specific responsibility for monitoring emails in both group accounts (club.finance.enquiries@imperial.ac.uk and icu.finance@imperial.ac.uk) to ensure that individuals are responded to in a timely manner 2. Liaise with Deputy President Clubs and Societies as soon as a significant problem in processing is identified so that they can liaise with student groups 3. Discuss customer service delivery and experiences at the periodic directorate meeting 4. Reviewed control date 01 April 2016 - changed date to 31 August 2016 <p>New Finance Administrator is now in place working alongside a full team of 3 individuals.</p> <p>----Reviewed 9 November 2016 by Malcolm Martin (Head of Finance & Resources) Customer Service is of good level as there are minimal complaints.</p>		
Current	Student Experience - Service Delivery (MM)		

RISK ID: ICUFIN-003

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
IF there is a temporary loss of the use of	Threat	SAP and Unifi are the core financial systems of ICU, and eActivities plays an essential role in allowing	Mr Edmond Burke	9	4	36	25	Treat	15-DEC-2017	Active	1. Systems-011-2015

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

computerised systems (SAP, Unifi, and eActivities) THEN Finance will be unable to perform its core functions efficiently or at all.	staff and students create financial documents and records. Both UniFi and eActivities are in-house systems, with all the inherent risks of in-house systems. SAP is supported by Milner Browne, on which some degree of reliance can be placed for backup. Management reporting relies heavily on UniFi. If UniFi were not available, it would not be possible to easily replicate management reports directly from SAP.									
---	--	--	--	--	--	--	--	--	--	--

Control Type	Control Description	Control Review Date	Control Owners
Current	<p>1. The Union uses the College's IT infrastructure which has hardware, communications and desktop support. The Union's finance information systems are hosted on servers held within the College network. Temporary outages in infrastructural services would be attended to by College</p> <p>2. Unifi is a bespoke system which has helped the Union verify, processing and analyse large amounts of data from multiple services users. This system is monitored by the Finance Analyst. A comprehensive knowledge sharing process in ongoing to ensure all members of the systems team understand its working, configuration and purpose.</p> <p>3. SAP software is on a support contract with Yuma</p> <p>--- Reviewed 9 November 2016 by Malcolm Martin (Head of Finance & Resources) on going plan to enhance the understanding of SAP system held by new Finance Manager.</p> <p>New Systems Manager in place to help mitigate risk</p>		
Current	Systems Availability / Disruption		
Pending	<p>1. Recruitment of a Systems Manager to support reliance ICU places on information systems</p> <p>2. Pending Control Reviewed - 01 April 2016</p> <p>New Systems Manager appointed due to start 7 May 2016</p> <p>Review by Edmond Burke, 27/01/2017</p> <p>1. Systems manager in place 2. Finance manager in place 3. SAP system successfully upgraded 4. Union-wide BCP process commencing - will include disaster recovery plan for all key systems. 5. Options for developing backup SAP-based basic reporting pack shortly to be under review.</p>	30-JUN-2017	Malcolm Martin

RISK ID: ICUFIN-004-YD2

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
IF VAT is not correctly accounted for	Threat	Without having clear VAT guidelines in place for Union staff and students, the Union may (1) not	Mr Edmond Burke	8	4	32	25	Treat	27-OCT-2017	Pending	

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

THEN there is a risk of financial loss, statutory non-compliance, censure and prosecution.		adhere to its own financial procedures (2) not charge the correct amount of VAT on its products and services (3) not budget for its expenditure correctly (4) be inconsistent in its approach to VAT exemptions (5) be exposed to large corrections, fines, and other censures in a VAT audit.									
--	--	--	--	--	--	--	--	--	--	--	--

Control Type	Control Description	Control Review Date	Control Owners
Current	1. A simple VAT fact sheet is available for Club Officers which delineates how transactions should be coded 2. Internal VAT matrix are available for Finance Administrators to use and are shared as part of an induction process for new staff ---Reviewed 9 November 2016 by Malcolm Martin (Head of Finance & Resources) VAT Assessment undertaken by Chris Dears in June/July 2016 VAT adjustments to be made during January 2017		
Current	Regulation / Legal / Legislative Compliance (MM)		
Pending	1. An internal VAT project has been commissioned to gather information on the current situation and then obtain external advise in consultation with HMRC. 2. Reviewed 1 April 2016 Project halted - due to changes within Finance team.	31-JUL-2016	Malcolm Martin
Pending	Engage External Consultant Reviewed 1 April 2016 Initial cost for consultant received. Need additional internal resource to service consultant - responsibility of new Finance Manager Reviewed 27 Jan 2017 Crowe Clark Whitehill review took place in May 2016. VAT status confirmed as having no significant issues. A number of recommendations were made, some of which have been implemented and the remainder (most significantly TOMS) will be implemented before end of March 2017.	30-MAR-2017	Malcolm Martin

RISK ID: ICUFIN-005-YD2

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
IF good financial procedures and oversight are not implemented THEN there is a risk of unchecked errors, fraud, financial loss,	Threat	Inability of the organisation to follow the financial procedures which underpin good governance will lead to a loss of reputation with the potential for fraud.	Mr Edmond Burke	9	3	27	25	Treat	15-DEC-2017	Active	

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

and reputational damage.											
--------------------------	--	--	--	--	--	--	--	--	--	--	--

Control Type	Control Description	Control Review Date	Control Owners
Current	Monthly Budget Holder Reviews Finance Manger holds monthly budgetary review meetings with all budget holders, which help ensure good governance throughout the Union.		
Pending	Financial Procedures Document Finance Manager to ensure all new managers are directed to the Union's Procedures document and confirm that they have read them.	30-NOV-2017	

RISK ID: ICUFIN-006-YD2

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
IF there are no guidelines for procurement THEN there is a risk of financial loss and/or reputational damage.	Threat	Without having clear guidelines for buyers making procurement decisions, the Union may (1) not adhere to its own financial procedures (2) engage suppliers that do not adhere to values of the Union and/or legal requirements or best practice (3) not obtain the best value for its money (4) expose itself to accusations of conflict of interest and reputational damage.	Mr Edmond Burke	5	6	30	25	Treat	27-OCT-2017	Active	

Control Type	Control Description	Control Review Date	Control Owners

RISK ID: ICUFIN-007-YU1

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
IF the Union does not review it's current investment strategy THEN it will not achieve it's budget investment targets for 2017/18 and it will not comply with its new ethical investment	Threat	If an appropriate new investment strategy is not implemented before December 2017, there will be a £20-25k risk to the budget for 2017/18. If a new strategy is not adopted this year, the Union will be exposed to criticism that it is not efficiently managing its cash resources and has not complied with its ethical investment policy.	Mr Edmond Burke	4	6	24	25	Treat	27-OCT-2017	Active	

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

policy.											
---------	--	--	--	--	--	--	--	--	--	--	--

Control Type	Control Description	Control Review Date	Control Owners

RISK ID: ICUFIN-008-YU2

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
IF current Finance vacancies are not advertised in advance of the College recruitment embargo THEN planned improvements in Finance services and delivery will be delayed until next year.	Threat	Due to a recruitment advertising embargo taking effect in October 2017, unless the permanent vacancies in Finance, especially for the new 3A role, are advertised by around 6 October, then there is a risk that this role will not be filled until after January 2018, which will put us in reactive mode going into the budget period, thereby making significant progress on our targets for more sophisticated financial modelling unlikely to be achieved this year.	Mr Edmond Burke	7	6	42	25	Treat	06-OCT-2017	Active	

Control Type	Control Description	Control Review Date	Control Owners

RISK ID: ICUFIN-009-YD1

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
IF CSP Finance training and/or handover is inadequate or incomplete THEN there is a heightened risk of financial loss and/or reputational damage.	Threat	Inadequate or ineffective CSP Finance oversight, training and/or handover, leads to the risk of CSPs not following the Union's financial procedures and/or making mistakes when creating financial documents or recording transactions, thereby creating an increased risk of inefficiency, financial loss, and reputational damage.	Mr Edmond Burke	6	7	42	25	Treat	19-JAN-2018	Active	

Control Type	Control Description	Control Review Date	Control Owners

RISK ID: LicTrade - 001 2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Beit Halls Entry	Threat	The concern over the entry to Beit Halls, in particular regarding to Wednesday and Friday nights. There is limited control over the access and exit of these halls making it extremely difficult to police whether people are entering the venues during 'entry controlled' events are suitable to be in the venue, i.e. are not overly drunk after drinking in their halls, not under the age of 18. The coming and going of Beit residents and their friends into their halls during events is a pressing concern due to it limiting control over dispense due to alcohol being drunk in their rooms and then returning to the venues bypassing security at the front doors	Mr Paul Gallagher	8	7	56	56	Treat	03-AUG-2015	Active	
------------------	--------	---	-------------------	---	---	----	----	-------	-------------	--------	--

Control Type	Control Description	Control Review Date	Control Owners
Current	<ul style="list-style-type: none"> * Security is in place at the point of entry for the quad * Security briefs are done at the start of events * Where possible, i.e. larger events security are placed at the points of entry and exit for Beit Hall, this is not always financially viable and does not happen for the majority of events * Card scanner at the point of entry to the quad to ensure that students who say they live in Beit do actually live there. This however does not stop them from entering the venues after they have gone back to their room * Assurance from college that no under 18 students will live in Beit Hall as of accademic year 2015/16. This does not limit them being friends with students under the age of 18 who may visit their halls 		
Pending	* Changing the door entry and exit to Beit Halls to be the two doors in the quad entrance. This would mean that students would have to enter and exit their halls before the security check. It would also limit the number of students leaving the venues to go back to their halls and returning as this would be considered a 're-entry' back into the event	01-AUG-2016	Paul Gallagher

RISK ID: LicTrade - 002 2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Finance Procedures Till operations Opening procedures Closing procedures Cashing up procedures	Threat	Inability to follow the financial procedures could lead to loss of cash, which in turn will affect the bottom line.	Mr Paul Gallagher	5	5	25	25	Treat	01-AUG-2016	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	* Financial procedures written and reviewed yearly		

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Control Type	Control Description	Control Review Date	Control Owners
	* Till operations done as part of staff training and induction * Opening procedures done daily as part of check list, checked by supervisor or manager daily * Closing procedures done daily as part of check list, checked by supervisor or manager daily * Cashing up process, documented as part of operations guide and training for duty managers in place		
Pending	* Online training quizzes needed to document and score the relevance and success of staff training so the staff's understanding of the training given can be tested and reviewed	01-MAR-2016	Paul Gallagher

RISK ID: LicTrade - 003 2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Catering Staffing	Threat	With the introduction of policy to only hire students and not non-students on a part time or casual basis the pressures of staffing the kitchen within Beit is a huge concern especially in regards to the increased success of the department Money is being spent on training students but the want and the ability to do the role in the current conditions is not being fulfilled. Students do not appear to be able to cope with the high demanding role and with the risk about food standards higher than ever from both an organisational and legal stand-point the need for a higher quality and consistent staffing structure is needed	Mr Paul Gallagher	5	7	35	35	Treat	04-JAN-2016	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	* Restructure in catering, new Head Chef position has a greater hands on approach to the training of student staff * Re-grading of one Kitchen Porter position to Chef de Parte to increase the ownership of the roles and to create a more senior hierarchy within the kitchen * Staff training quality increased to help retention		
Pending	* Staffing proposal needed from Head Chef in regards to costs and recommendations	04-JAN-2016	Paul Gallagher

RISK ID: LicTrade - 004 2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Tech Support	Threat	* Lack of Tech Support within the union for the amount of content that is generated in regards to events that need this level of support (Live	Mr Paul Gallagher	5	6	30	30	Treat	04-APR-2016	Active	

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

		Bands, Club Activity etc)									
--	--	---------------------------	--	--	--	--	--	--	--	--	--

Control Type	Control Description	Control Review Date	Control Owners
Current	* Loose agreement with the DramaSoc in regards to tech support for events. This is however not ideal as it puts strain on there resources and time and is not looked favorably by the society * Introduction of student lighting technician role within Entertainment has limited the need to call on DramSoc specifically * Being more self sufficient in the equipment the venues own so that DramSoc resources are not needed as much		
Pending	* Possible introduction of a Union Tech Manager - This person would operate and manage all technical aspects of the Union in regards to Sound, Light and AV and would therefore cross over many departments of the Union. * This person could also manage a team of students as part for the wider technical team	04-APR-2016	Paul Gallagher

RISK ID: LicTrade - 005 2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
International & EU Students Mix	Threat	The risk regarding changes to international and European Union student enrollment at Imperial could heavily affect the type of student body that socialise within the Union's commercial outlets... A decrease in international/EU students could see less students overall attending Imperial An increase in international/EU students could see a change to the socialising habits of our student body	Mr Paul Gallagher	4	5	20	20	Treat	05-SEP-2016	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	Controls are out of the Union's hands as this is a political issue Student lobbying is a possible control measure		

RISK ID: LicTrade - 006 2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Medics Students Union	Threat	Risk regarding the elected position of Medic's Union President and the divide that exists between the ICSMSU and the overall Imperial Students Union The Reynolds Bar Manager is the only full time member of Union staff that works on that campus and is	Mr Paul Gallagher	7	5	35	35	Treat	24-OCT-2016	Active	

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

		therefore not only the manager of the bar but also the only representative of the Union on site.									
		The elected position of Medic's Union President and how they interact with the Reynolds Bar Manager is essential to how that relationship is managed and by extension the overall success of that site									

Control Type	Control Description	Control Review Date	Control Owners
Current	* Weekly meetings with the Reynolds Bar Manager and the ICSMSU President to discuss issues		

RISK ID: LicTrade - 007 2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Medics Students Union Stewarding	Threat	The current stewarding done at the Reynolds Bar is done so on a voluntary basis by members of the Medics Students Union. It is understood that when elected to a position within the Medics SU that person will volunteer their time to steward SU events. As the quality of the stewarding has needed to increase and the expectation of what is needed from them on events has increased dramatically the want to do this has decreased and by extension people have concerns over running for positions due to the extra responsibility for stewarding Having paid stewards similar to what is done at Beit Bars would have a huge negative impact on the Reynolds Bar but the need for a strong stewards team is as essential as ever	Mr Paul Gallagher	6	5	30	30	Treat	24-OCT-2016	Active	

Control Type	Control Description	Control Review Date	Control Owners
Pending	Increased budget on stewarding for the Reynolds Bar. Could be reflected in the increased expectation of the bar post refurbishment in 2016	24-OCT-2016	Paul Gallagher

RISK ID: LicTrade - 008 2015

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Closing of Charing Cross Hospital	Threat	The talks around the closing of Charing Cross Hospital are ongoing. This would of course mean the closing or relocating of the Medics Union and therefore the Reynolds Bar	Mr Paul Gallagher	6	4	24	24	Treat	24-OCT-2016	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	This is a political and college threat and therefore the controls are out of the Union's direct control Sabbatical Office influence could be seen as a possible control measure		

RISK ID: LicTrade - 009 2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Pressures on Promotional & Marketing Resource	Threat	As the organisation grows the pressures on the Marketing team increases. Greater training and awareness across the organisation opens up greater understanding and also a increase in expectations.	Mr Paul Gallagher	5	7	35	35	Treat	04-APR-2016	Active	

Control Type	Control Description	Control Review Date	Control Owners

RISK ID: LicTrade - 010 2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Reliance on Student Casual	Threat	As the reliance on the need for student casual staff increases as the Union is successful in creating and offering better services to our members we will begin to see increases in the pressures of being able to keep up with the demand for staff needs on the rota. This is already a big pressure on the commercial outlets and even now outlets fall short often in meeting the rota needs for given weeks. Expected standards of delivery in regards to customer service do not go hand in hand with this and training, practice and ownership of	Mr Paul Gallagher	5	7	35	35	Treat	01-APR-2015	Active	

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

		roles is often a very trying process.									
--	--	---------------------------------------	--	--	--	--	--	--	--	--	--

Control Type	Control Description	Control Review Date	Control Owners
Current	* More ownership of the role is being enforced onto staff * Better training offered and being delivered, measured and marked * Better understanding of the rules around working for the union's outlets is in place		

RISK ID: Retail - 001 2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Finance Procedures Till operations Opening procedures Closing procedures Cashing up procedures	Threat	Inability to follow the financial procedures could lead to loss of cash, which in turn will affect the bottom line.	Mr Robert Smith	5	5	25	25	Treat	01-JUN-2017	Pending	

Control Type	Control Description	Control Review Date	Control Owners
Current	Updated operations guidelines. Reviewed risk 31/05/2016		

RISK ID: Retail 002-2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Loss Prevention	Threat	Risk of loss of stock, through both petty and professional shoplifting or burglary. Risk of loss of cash. This could also lead to a financial loss(sales), due to stock shortage.	Mr Robert Smith	5	4	20	20	Treat	03-APR-2017	Pending	

Control Type	Control Description	Control Review Date	Control Owners
Current	Annual stocktake is carried out at the end of the financial year. Mini stocktakes are carried out during the year. Stocktake result of 0.2% of sales in July 2015 was an exceptional result. Problem areas are monitored if necessary. Black spots are identified. Higher priced items are visible and or locked in display cases. Customers where possible are acknowledged/greeted. Apart from the good customer service aspect this also makes the customer aware that we know they are there.		
Current	Reviewed 6/04/2016. Above controls still apply		

RISK ID: Retail 005-2015

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Loss of Key Staff	Threat	Loss of key members of staff with experience and expertise within the Retail team could lead to disruption and the effective operation of the department and could adversely affect revenue, stock and morale.	Mr Robert Smith	5	5	25	25	Treat	03-APR-2017	Pending	

Control Type	Control Description	Control Review Date	Control Owners
Current	Currently have as many administration procedures filed as possible.		
Current	Retail now has a comprehensive procedures training manual, which covers all administration tasks and duties. This risk has been reviewed on 6/04/2016.		

RISK ID: Retail 006

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Systems Failure	Threat	Loss of our TSM, Epos and back office systems and loss of key personnel related to these systems could significantly impact on the Retail departments ability to function. Placing of orders Ability to take payment Stock control Deliveries Price changes	Mr Robert Smith	7	4	28	20	Treat	01-AUG-2017	Pending	

Control Type	Control Description	Control Review Date	Control Owners
Current	Reviewed risk 1/08/2016		
Pending	This will be considered with regards to a new Epos system.		Robert Smith

RISK ID: Retail 008

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Power Failure	Threat	If the power failed there is a back up to a till in the Union Shop and some lighting. The risk to theft is heightened. Power failure to the freezer in Shop Extra and to the freezer in the stockroom could potentially lead to damaged stock and thus adversely affect the bottom line.	Mr Robert Smith	4	4	16	16	Treat	01-AUG-2017	Pending	

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Control Type	Control Description	Control Review Date	Control Owners
Current	Reviewed risk 1/08/2016		
Current	Reviewed risk 1/08/2016		

RISK ID: Retail 009

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Pressures on Promotional and Marketing Resources	Threat	With the growth of the Union the pressures on the marketing team increases. More training to enable the Retail team to be more self sufficient eg: with regards to signage would be beneficial and lead to improved visual presentation and increase in sales. Retail would have the promotional signage when needed.	Mr Robert Smith	4	5	20	20	Treat	03-APR-2017	Pending	

Control Type	Control Description	Control Review Date	Control Owners
Current	Reviewed 6/04/2016 Marketing now have more staff, which should help the situation.		

RISK ID: Retail 010

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Casual Student Staff Replacing full time staff.	Threat	With the idea to trial for 3 months hiring atleast 3 students on a casual basis to look after the clothing department increases the pressure on the full time staff. This is instead of filling the full time sales assistant position, that currently exists. This is of great concern particularly as the clothing department has grown by 15% in the last year, now taking in excess of £200,000 in sales. This increase could quickly be lost. Time will be spent on continually training 3 students and updating 3 people as there will inevitably be a lack of consistency and product knowledge.	Mr Robert Smith	7	5	35	35	Treat	03-APR-2017	Pending	

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Control Type	Control Description	Control Review Date	Control Owners
Current	<p>REVIEWED RISK ON 1/04/2016. We trialled recruiting from October 2015 until February 2016. Not enough students could full fill the hours necessary to replace a full time 37.5 hour position. Only a few students were interested, but could not work during exams and most went home for the holidays and all of the summer and could not work between them sufficient hours.</p> <p>Will assess the situation when another suitable full time vacancy occurs.</p>		

RISK ID: Retail003-2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Retail revenues related to College events and conferences.	Threat	The variation in the level, timing and nature of events and conferences hosted by the college can have a significant impact on the revenues for all of the retail outlets.	Mr Robert Smith	5	4	20	20	Tolerate	01-AUG-2017	Pending	

Control Type	Control Description	Control Review Date	Control Owners
Current	reviewed risk 1/08/2016.		

RISK ID: Retail007

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Lack of Space	Threat	<p>The business in both the Union Shop and Shop Extra has grown and continues to do so. The lack of space in the stockrooms and on the shop floor in the Union Shop is very detrimental to the continued growth of the business.</p> <p>Promotional opportunities when purchasing are being missed.</p> <p>Stocking of new products/ departments.</p> <p>Visual presentation is adversely affected.</p> <p>Deliveries of which are huge have to be taken directly onto the shop floors</p> <p>Health and Safety of both staff and customers.</p>	Mr Robert Smith	7	7	49	49	Treat	03-APR-2017	Pending	

Control Type	Control Description	Control Review Date	Control Owners
Pending	Paul Buckley liaising with Nick Roalfe to find more storage space. Reviewed 6/04/2016	03-APR-2017	

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

RISK ID: SMG-002-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Receive and retain full assurance from internal auditors	Threat	The annual action plan devised immediately following the internal visit is not fully implemented leading to a reduction in the level of financial governance increasing the risk of fraud and misappropriation of the Unions assets.	Mr Malcolm Martin	7	4	28	25	Treat	28-FEB-2018	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	1. Internal Audit action plan is reviewed by SMG on a quarterly basis 2. Responsibility for following up the plan is assigned to a specific individual whose role is to highlight issues of non-compliance to SMG		

RISK ID: StuDev-001-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Staff retention	Threat	Retention of staff who could be unmotivated or without a thorough induction, which could have an immediate detrimental effect on the department's normal operations effecting the reputation of the wider Union.	Miss Emelie Helsen	4	6	24	10	Treat		Active	

Control Type	Control Description	Control Review Date	Control Owners

RISK ID: StuDev-002-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Financial management of SD accounts	Threat	A lack of clarity on financial procedures, budgeting, budget forecasting and setting, and clear documentation is to result in over expenditure or mismanagement of the finances	Miss Emelie Helsen	8	7	56	25	Treat	18-DEC-2017	Active	

Control Type	Control Description	Control Review Date	Control Owners

RISK ID: StuDev-003-2017

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
ILM Satellite Centre approval	Threat	If the ILM Satellite Centre process does not go ahead as planned, there is a threat of not being able to provide the ILM5 course as the cost has not been budgeted for. Additionally, future potential income through ICU being an approved centre would fail.	Miss Emelie Helsen	8	4	32	12	Treat		Active	

Control Type	Control Description	Control Review Date	Control Owners

RISK ID: StuDev-004-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Imperial Award Launch	Threat	The Imperial Award is to fully launch in January 2018. If a solid partner project plan is not created and adhered to, it can jeopardise the launch going ahead and affect Union and University staff's workload and work flow.	Miss Emelie Helsen	8	6	48	14	Treat		Active	

Control Type	Control Description	Control Review Date	Control Owners

RISK ID: StuDev-005-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Imperial Award online system	Threat	The Imperial Award fully relies on the online system created by ICU. If the system were to not be finished on time (due to staffing, resources, changing timelines by the College), staff would have to revert to manual systems which are not manageable for large amount of student participation.	Miss Emelie Helsen	8	4	32	12	Treat		Active	

Control Type	Control Description	Control Review Date	Control Owners

RISK ID: Systems-001-2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk	Linked Risks
-------	-----------	------------------	------------	--------	------------	---------------	-----------	-----------	------------------	------	--------------

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

										Status	
ICU owned server hardware failure	Threat	ICU owns a physical server running the eVoting system. A hardware failure on this server would degrade or disrupt operation of the server, degrading or disrupting the operation of any system utilising this hardware until such time as ICU can repair or replace the failed server.	Mr Charles Tomlinson	7	2	14	16	Treat	01-DEC-2016	Active	1. Systems-002-2015 2. Systems-003-2015 3. Systems-007-2015 4. Systems-008-2015 5. Systems-009-2015

Control Type	Control Description	Control Review Date	Control Owners
Current	Monitoring of systems to notify systems team in the event of a failure, allowing corrective action to be taken as quickly as possible.		
Current	Replacement of physical servers with virtualized servers when physical server reaches end of life (i.e. depreciated).		

RISK ID: Systems-001-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Changes in Union priorities affecting systems pipeline	Threat	The systems team pipeline is very busy with not much room to maneuver. Changes in Union priorities requiring significant reactive work would mean operating targets not being met.	Mr Charles Tomlinson	4	4	16	20	Treat	01-FEB-2018	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	Clear Pipeline of work set out, Documented and communicated to staff regularly.		
Current	Regular organisation-wide communication on workload alongside individual meetings to ascertain any potential changes to priorities or incoming threats.		

RISK ID: Systems-002-2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
ICT owned systems failure / disruption	Threat	All of ICU's systems are dependent on systems operated by Imperial College ICT, including network, datacentre, server virtualization, file storage, database cluster, etc. Disruption of ICT systems due to failure / planned maintenance disrupt any ICU system reliant on the affected ICT system.	Mr Charles Tomlinson	8	1	8	16	Tolerate	07-MAR-2018	Active	1. Systems-001-2015 2. Systems-003-2015 3. Systems-006-2015 4. Systems-007-2015 5. Systems-008-2015 6. Systems-009-2015

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

											7. Systems-010-2015 8. Systems-011-2015 9. Systems-012-2015
--	--	--	--	--	--	--	--	--	--	--	---

Control Type	Control Description	Control Review Date	Control Owners
Current	Ongoing liason with ICT to help them understand dependencies between our systems and theirs to facilitate improvements to ICT risk management.		
Current	Service Level Agreement with ICT		

RISK ID: Systems-002-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Resourcing: Staff Time	Threat	If capacity of staff time is not sufficient then Systems team may not meet operational objectives set in operating plan within agreed timescales.	Mr Charles Tomlinson	6	7	42	40	Treat	01-FEB-2018	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	Be aware of Annual Leave in advance to plan effectively.		
Current	Planning; Ensuring projects are prioritised and enough time is allowed for day-to-day work in advance.		
Pending	Ensure requirements from around the organisation are communicated effectively and dependencies on Systems are taken into account when other teams consider their operational objectives.		Charles Tomlinson
Pending	More robust and SMART operational planning to ensure timescales are taken into account when agree to work in operational plan		Charles Tomlinson
Pending	Recruit additional resource for the team.		Charles Tomlinson

RISK ID: Systems-003-2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Database data loss / corruption	Threat	Much of ICU's key data is stored in databases. Hardware and software failures could result in partial or complete loss of database data, and software faults could result in data corruption. Data loss and corruption can also occur through systems staff error e.g. by making a mistake when altering database structure. Such data loss and corruption compromise our ability to operate and exposes us to reputational risk.	Mr Charles Tomlinson	8	3	24	16	Treat	01-DEC-2016	Active	1. Systems-001-2015 2. Systems-002-2015 3. Systems-004-2015 4. Systems-006-2015 5. Systems-007-2015 6. Systems-008-2015 7. Systems-009-2015

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

											8. Systems-010-2015 9. Systems-011-2015
--	--	--	--	--	--	--	--	--	--	--	--

Control Type	Control Description	Control Review Date	Control Owners
Current	Finance and core enterprise databases stored on ICT SqlServer cluster (i.e. backed up and guaranteed by ICT).		
Current	Systems bugs compromising validity of data treated with high priority.		
Current	Testing to ensure correct correct input data validation and business logic enforcement when implementing new features.		
Pending	Improvement of ICU stored database backups.	01-DEC-2016	Philip Stewart
Pending	Restructuring of main membership database requiring less admin input, reducing risk of user error.		Charles Tomlinson

RISK ID: Systems-003-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Third Party Supplier Dependency	Threat	If third party suppliers of Systems are unresponsive or then we may not be able to resolve problems or improve systems, affecting operating targets.	Mr Charles Tomlinson	5	5	25	25	Treat	01-FEB-2018	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	Keep in close communication with third party suppliers to manage expectations and development schedules.		

RISK ID: Systems-004-2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Security breach	Threat	Unauthorized access to ICU systems and databases, resulting in unauthorized actions or theft of data. Such access could occur through theft of credentials or bypassing access restrictions through compromised software ('hacking'). Substantial reputational risk if personal data of members is compromised.	Mr Malcolm Martin	6	2	12	16	Treat	01-DEC-2016	Pending	1. Systems-003-2015 2. Systems-006-2015 3. Systems-007-2015 4. Systems-008-2015 5. Systems-010-2015 6. Systems-011-2015

Control Type	Control Description	Control Review Date	Control Owners
Current	Regular application of security updates to 3rd party software.		
Current	Permissions and privileges enforcement and audit trails in eActivities		
Current	Systems bugs compromising security treated with highest priority.		
Pending	Full security audit of all bespoke systems.	01-DEC-2016	Philip Stewart

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

RISK ID: Systems-004-2017

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Staff turnover	Threat	If systems and processes are not documented then turnover of staff could cause significant delays in project plans and BAU work.	Mr Charles Tomlinson	7	4	28	20	Treat	10-JAN-2018	Active	

Control Type	Control Description	Control Review Date	Control Owners
Pending	Detailed documentation in place for all major systems and processes		Charles Tomlinson
Pending	Ensure enough time for writing handover notes during staff handover period.		Charles Tomlinson
Pending	Ensure shared knowledge across all team members.		Charles Tomlinson

RISK ID: Systems-005-2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Data protection and GDPR regulatory compliance	Threat	The union as a holder of personal data has obligations as a data controller under the Data Protection act. With the new GDPR coming into force, it is necessary to ensure we are meeting best practice and compliant with any requirements of the regulations.	Mr Malcolm Martin	6	6	36	25	Treat	01-JAN-2018	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	Upgrade .org checkout functionality to avoid direct handling of credit card numbers, thus minimizing obligations under PCI-DSS		
Pending	Improve understanding of GDPR obligations and enact processes and procedures accordingly.	01-DEC-2016	Philip Stewart, Charles Tomlinson

RISK ID: Systems-006-2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Failure affecting front-facing services(eg imperialcollegeu nion.org, Ticketing functions)	Threat	Public online presence of the union. Breakage is damaging to reputation, prevents members and others finding out key information, and compromises ability to sell online. Estimated time for emergency redeployment: 8-16 hours.	Mr Charles Tomlinson	6	3	18	16	Treat	01-DEC-2016	Active	1. Systems-002-2015 2. Systems-003-2015 3. Systems-004-2015

Control Type	Control Description	Control Review Date	Control Owners
Current	Monitoring of systems to notify systems team in the event of a failure, allowing corrective action to be taken as quickly as possible.		

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

Control Type	Control Description	Control Review Date	Control Owners
Current	Version control of bespoke code, facilitating rollback.		
Pending	Upgrade server software to improve performance and reduce chance of failure due to excess server load.	01-DEC-2016	Philip Stewart

RISK ID: Systems-007-2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Failure affecting administration functions (eg. eActivities, Golem)	Threat	Substantial number of administrative processes affected, severely impeding ability of the organisation to operate. Estimated time for emergency redeployment: 2-6 hours.	Mr Charles Tomlinson	7	3	21	16	Treat	01-DEC-2016	Active	1. Systems-001-2015 2. Systems-002-2015 3. Systems-003-2015 4. Systems-004-2015

Control Type	Control Description	Control Review Date	Control Owners
Current	Migrate to virtualized server in medium term.		
Current	Version control of bespoke code, facilitating rollback.		

RISK ID: Systems-008-2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Failure affecting eVoting	Threat	Students unable to vote during elections. Reputational risk should major failure occur during the Big Elections. Minimal impact when no elections running. Estimated time for emergency redeployment: 8 hours.	Mr Charles Tomlinson	4	3	12	16	Treat	01-DEC-2016	Active	1. Systems-001-2015 2. Systems-002-2015 3. Systems-003-2015 4. Systems-004-2015

Control Type	Control Description	Control Review Date	Control Owners
Current	Version control of bespoke code, facilitating rollback.		
Pending	Migrate to virtualized server in medium term	01-DEC-2016	Philip Stewart
Pending	Improve administration interface and functions, requiring less direct input from admins and de-risking user error.		Charles Tomlinson

RISK ID: Systems-011-2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Failure affecting UniFi / UniFi Web Reporting	Threat	Finance team unable to complete various administrative tasks when UniFi unavailable. Management accounts unavailable when UniFi	Mr Charles Tomlinson	2	3	6	16	Tolerate	01-DEC-2016	Active	1. ICUFIN-003 2. Systems-002-2015

EMPIRICAL
Risk Register

Parameters: Column Filter : Organisation = IC Student Union

Hide Closed: Y Hide Current Closed Controls: Y

Report Generated by: Mr Malcolm Martin

Generated on: 02-OCT-2017 16 07

		WR down. Estimated time for emergency redeployment: 2-6 hours.										3. Systems-003-2015 4. Systems-004-2015
--	--	--	--	--	--	--	--	--	--	--	--	--

Control Type	Control Description	Control Review Date	Control Owners
Current	Version control of bespoke code, facilitating rollback.		

RISK ID: Systems-013-2015

Title	Risk Type	Risk Description	Risk Owner	Impact	Likelihood	Current Score	Tolerance	Treatment	Risk Review Date	Risk Status	Linked Risks
Staff turnover and knowledge retention	Threat	Departure of staff from systems team has potential to significantly compromise effectiveness of the team. Undocumented systems difficult to learn and maintain	Mr Malcolm Martin	3	7	21	16	Treat	01-DEC-2016	Active	

Control Type	Control Description	Control Review Date	Control Owners
Current	Documentation of systems (ongoing)		
Current	Version control of bespoke code captures intent behind changes		
Pending	Appointment of Systems Manager	31-JAN-2016	Malcolm Martin