



Matters Arising

<b>Outcome requested:</b>	Audit and Risk Committee is asked to <b>note</b> the matters arising from the minutes of the meeting held on 23 July 2020.
<b>Executive Summary:</b>	N/A
<b>QMUL Strategy: strategic aim reference and sub-strategies</b>	The effective management of the Queen Mary's governance arrangements underpins the ability to achieve the strategic aims.
<b>Internal/External regulatory/statutory reference points:</b>	N/A
<b>Strategic Risks:</b>	N/A
<b>Equality Impact Assessment:</b>	Not required
<b>Subject to prior and onward consideration by:</b>	Considered by the Committee only.
<b>Confidential paper under FOIA/DPA</b>	No
<b>Timing:</b>	N/A
<b>Author:</b>	Nadine Lewycky, Assistant Registrar (Governance)
<b>Date:</b>	25 August 2020
<b>Senior Management/External Sponsor:</b>	David Willis, Chair of Audit and Risk Committee

**Actions from meeting of: 23 July 2020**

<b>Minute no.</b>	<b>Action</b>	<b>Person responsible</b>	<b>Progress</b>
2019.064[d]	<p><b>Matters arising [ARC2019/48]</b>  <b>Internal audit</b>                      The Committee <b>agreed</b> that the review reflect on lessons learned, including student feedback, and implementation. A detailed scope would be agreed between KPMG and the Chief Governance Officer and University Secretary.</p>	Chief Governance Officer; KPMG	The Terms of Reference has been appended to the matters arising.
2019.064[e]	<p><b>Matters arising [ARC2019/48]</b>  <b>Internal audit reports</b>                      Management responses to the business continuity and IT asset management audit reports were being finalised. These would be circulated to the Committee when ready.</p>	Committee Secretary	The internal audit reports have been included in the papers for this meeting.
2019.065[l]	<p><b>Re-opening of campus services [Oral report]</b>                      The Committee asked for future reports on the return to campus be written to ensure the appropriate audit trail.</p>	Chief Governance Officer and University Secretary	Future reports on the return to campus will be written.
2019.066[c]	<p><b>External audit [Oral report]</b>                      The Committee <b>agreed</b> to an additional meeting in October to consider these issues.</p>	Committee Secretary	An additional meeting has been scheduled for Thursday 29 October at 1500 hours.
2019.067[e]	<p><b>Reporting value externally [ARC2019/50]</b>                      Drafts in progress would be shared with the Committee.</p>	Chief Governance Officer and University Secretary	Drafts will be shared with the Committee when ready.
2019.068[d]	<p><b>IT resilience and security [ARC2019/51]</b>                      The Committee asked the Chief Information Officer to develop criteria to determine whether a cyber-incident should be brought to the attention of the Committee.</p>	Chief Information Officer	Criteria for a single cyber-security incident Any of the below would trigger a report to Audit and Risk Committee: a. Incident has impacted 10 or more individuals across the University (staff or students);

			<p>b. Critical functions of the University were or would have been significantly impacted or stopped without action. These include research, teaching, recruitment, financial procedures such as pay-roll;</p> <p>c. Has or could have resulted in a reportable data breach;</p> <p>d. Any compromise visible to a large number of people outside Queen Mary because this affects our reputation.</p>
2019.074[e]	<p><b>Any other business</b>  <b>External audit tender</b>  The Committee <b>agreed</b> that, given the state of the current tender, Deloitte should be retained for another year and the tender revisited next year.</p>	Interim Finance Director	Deloitte have been retained for this year and the tender will be revisited next year.

Matters arising occurring outside of the meeting:

In compliance with the OfS conditions of registration, the Queen Mary Unistats return was submitted by the 13 August deadline.



# Digital learning

Queen Mary University of London  
Internal Audit 2020-21

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August 2020

**Background**

Digital learning has become an increasingly important component of education delivery at Higher Education institutions. With the onset of Covid-19 this has accelerated these plans and made them critical element of education provision. At Queen Mary, University of London (QMUL) this has been overseen through a strategic steering group chaired by the President and Principal of QMUL which has focused on three core aspects; recruitment and admissions; online transition support and education. Our work specifically focuses on the education strand, which is overseen by the Vice Principal of Education.

Key to the success of rolling out digital learning, will be to understand the key risks and issues that it faces, how lessons from the previous experiences with digital learning for example at the end of the 2019/20 academic year through the onset of Covid-19 pandemic are understood and the clarity of guidance, support and engagement with key stakeholder in digital learning. It is also important that the rolling out of digital learning supports the University's longer-term strategy to deliver world class, inclusive education. This can include clear risk assessment, working groups to engage with both staff and student voices and clear principles and guidelines for both to apply digital learning in a consistent and effective way across all programmes.

As QMUL is targeting two intakes of students during 2020/21 our work will be split to review how these aspects have been designed and implemented in the run up to the first autumn intake in the first phase with a second phase reviewing how these were rolled out and are being updated after that intake in advance of the second intake.

**Impact of Covid-19**

We are conscious that your staff will be focussed on responding to the pandemic at this time. To ensure that we work effectively with you and use your staff time well we will arrange virtual meetings with each of the key stakeholders in advance and provide a draft version of the report ahead of the emerging findings discussion.

If there is anything else we can do to minimise disruption to your team please let us know.

**Purpose of these terms of reference**

These terms of reference are provided pursuant to the terms of our internal audit services engagement letter. The use of this document is solely for internal purposes by Queen Mary, University of London and, pursuant to the terms of the engagement, it should not be copied or disclosed to any third party or otherwise quoted or referred to, in whole, in part, without our prior written consent.

**Objectives**

Objective	Description of work to undertake
<b>Objective One</b> Digital learning: Strategic working group	We will understand how the work of the education group has been set up and run to support digital learning in education this will include how it has: <ul style="list-style-type: none"> <li>- Completed risk assessments to understand the scope and needs of the project;</li> <li>- Leveraged learning from previous digital learning experiences to ensure lessons learned are incorporated;</li> <li>- Supported the longer term strategy for world-class inclusive education;</li> <li>- Identified and engaged with key stakeholders to ensure that proposals are workable and effective; and</li> <li>- How guidance and support has been provided to staff and students to ensure digital learning is effective.</li> </ul>
<b>Objective Two</b> Programme level review	We will select a sample of programmes at QMUL, to review and understand how the work of the digital learning group has involved and is being applied to individual programmes.

The second stage of our work will be defined following completion of the first stage and confirmation with the relevant senior staff at QMUL.

**Anticipated assurance**

Management anticipates that this review will be given an [Significant assurance, Significant assurance with minor improvement opportunities, Partial assurance with improvements required, No assurance] assurance rating.

**Assistance required**

We require assistance to deliver this review on time, in particular we need: prompt agreement of these terms of reference; staff required for interview to ensure their reasonable availability; and access to relevant records.

**Key contacts**

In order to undertake this work we will require meetings with:

Name	Input required
Stephanie Marshal – Vice Principal, Education	1 hour meeting at the start of the review to agree logistics and scope; 1 hour meeting at end of review to feed back findings. Time to review factual accuracy of report and respond to findings.
Janet DeWilde (QMUL academy)	2 hours during the fieldwork
Chris Whilton – Senior Project Manager Strategy Deliver Office	2 hours during the fieldwork 1 hour meeting at end of review to feed back findings.
Professor Anthony Michael - Dean for Education	1 hours during the fieldwork
Dr Henri Huijberts - Deputy Dean for Education	1 hours during the fieldwork
Director of Education based on schools sampled	2 hours during the fieldwork
Christina Perry – Dean for Human and Social Sciences	2 hours during the fieldwork

This list is not exhaustive and we may require additional meetings as our work progresses.

**Resourcing**

This review forms part of our 2020/21 internal audit plan. Staff will be drawn from your core audit team as follows:

Name	Position
Neil Thomas	Partner
Charlie Medley	Senior Manager
Ryan Nelson	Assistant Manager
TBC	Audit Assistant

**Documentation request**

We provide below details of documentation we would like to review if available. This list is not exhaustive and if there are other documents that we feel would be useful to review we will request these whilst onsite. Similarly if you feel there are other documents that would assist us which are not listed please provide them.

- Terms of reference and reporting to the education group for digital learning;
- Work programme and status tracking and reporting for the education strand;
- Schedule of risk assessments and template risk assessment documentation for digital learning;
- Copies of guidance to staff and students;

- Minutes and agendas of engagement forums with key stakeholders; and
- Assessment and lessons learned for digital learning from Covid-19.

### Outputs

We will present our findings in a report. The report will be agreed with the Executive sponsors for this review, before it is presented to the Audit Committee for approval

### Timetable

The timetable for this review is shown below:

Due date	Task	Responsibility	
		QMUL	KPMG
24 August 2020	Prepare and agree terms of reference	✓	✓
<b>Fieldwork – phase one</b>			
w/c 31 August 2020	Start fieldwork	✓	✓
w/c 14 September 2020	Complete fieldwork		✓
w/c 21 September 2020	Closure meeting	✓	✓
<b>Reporting – phase one</b>			
w/c 05 October 2020	Issue draft report		✓
w/c 19 October 2020	Provide management responses	✓	
w/c 19 October 2020	Final report issued		✓
October 2020	Presentation to Set	✓	
10 November 2020	Presentation to Audit Committee		✓



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