



THE UNIVERSITY OF
NOTRE DAME
A U S T R A L I A

GUIDELINES:

ORGANISATIONAL UNIT LEVEL RISK MANAGEMENT

Purpose:	To support development of School, Office or Research Centre/Institute operational risk registers.
Location	National Drive.
Responsible Executive:	PVC (Strategy and Planning)
Responsible Office:	Vice Chancellery
Contact Officer:	Manager, Risk and Compliance
Effective Date:	24 April 2015
Review Date	24 April 2018
Modification History:	Created: 29 October 2012; amended 22 April 2015
Authority:	Approved by Vice Chancellor 24/04/2015

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1 Purpose

The University is committed to a strategic and structured organisational wide approach to risk management that supports consistent and effective identification, management and reporting of risks and that assists in performance improvement.

These Guidelines for assessing risk are based on the AS/NZS ISO 31000:2009 Risk Management Principles and Guidelines and should be read in conjunction with the University's Risk Management Policy and Procedures.

These Guidelines have been developed to support development of Schools, Offices and Research Centres/Institutes operational risk registers and a University wide Operational Risk Register (for those risks rated as 'high' or 'extreme').

2 Objectives of risk assessment

Risk assessments should identify, through structured discussion:

- School, Office or Research Centre/Institute objectives, major functions and related activities;
- Risks (and rank them as Low, Medium, High or Extreme) that impede the School, Office or Research Centre/Institute from achieving their objectives;
- Existing controls (and their effectiveness) to manage identified risks;
- Action plans, responsibilities and completion dates to mitigate risks.

Outcomes from risk assessments should be documented through a Risk Register to ensure that outcomes are transparent and able to be communicated to all relevant stakeholders. A Risk Register template is contained at **Appendix H**.

3 Timing

Risk assessment training and workshops will be conducted by the Manager, Risk and Compliance with nominated staff in January.

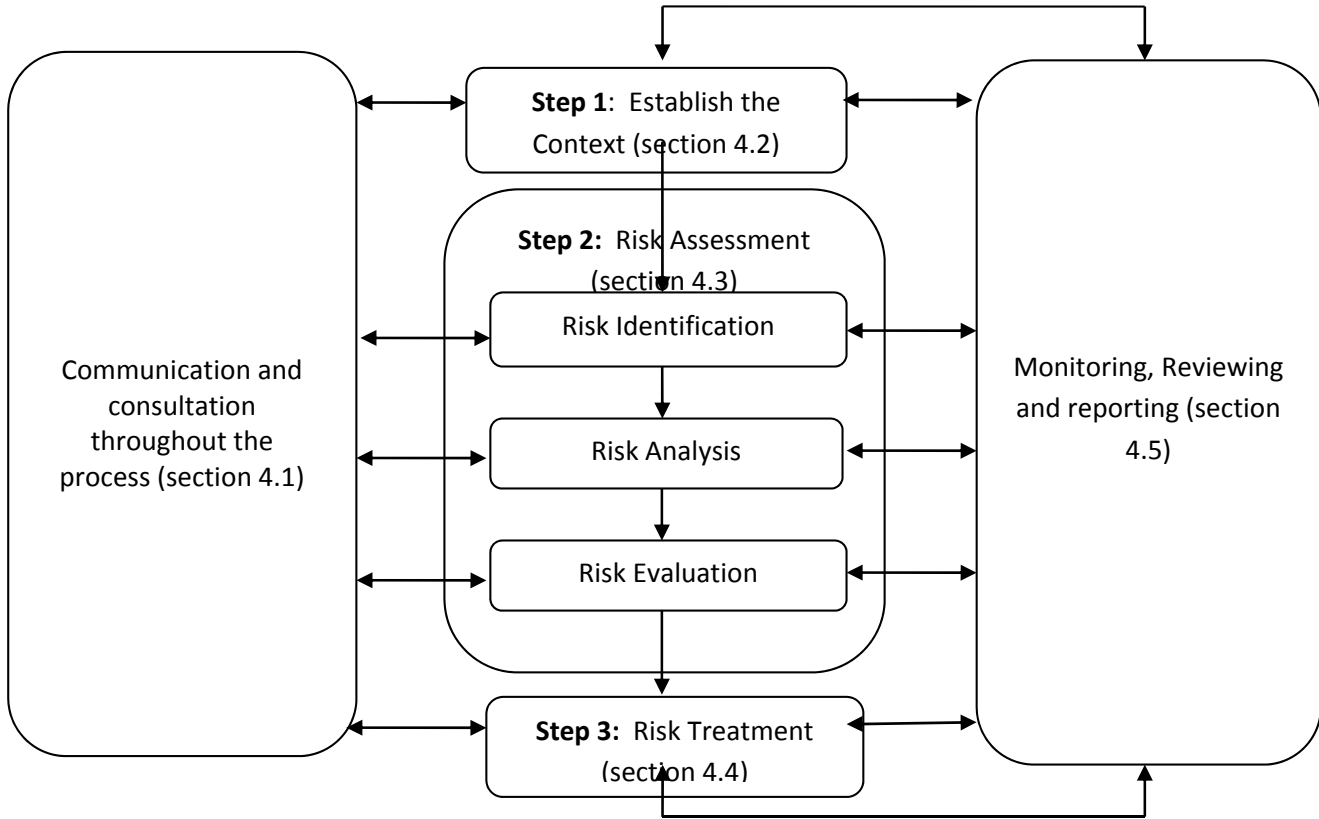
Risk assessments should be undertaken by Schools, Offices and Research Centres/Institutes at least once per annum, and updated Risk Registers sent to Manager, Risk and Compliance by March. A review of the School, Office or Research Centre/Institute risks with a view to ensuring changes to risks are captured and reflected should then occur in July/August, and a report on progress with mitigation strategies for risks classified as 'extreme' or 'high' reported to the Head of Campus by the Dean or Executive Director.

The University's risk management cycle, timeframes and responsibilities are outlined at Section 8 of the Procedure: Risk Management.

4 Risk assessment process

Risk assessment is the overall process of risk identification, risk analysis and risk evaluation.

The AS/NZS ISO 31000:2009 Risk Management Principles and Guidelines consider the following framework for managing risks. Each element of the framework is explained below.



Source: SAI Global

4.1 Communication and consultation

Communication and consultation with stakeholders should occur during all stages of the risk assessment process. Effective communication and consultation will ensure that those accountable for implementing the risk management process and stakeholders understand the basis on which decisions are made, and the reasons why particular actions are required.

4.2 Step 1: Establish the context

This step is critical to set the scope and criteria for the remaining steps, and ensure that the risk assessment is appropriate to the risks affecting achievement of the planned objectives.

This step should involve:

- (a) Identifying and reviewing documented plans that exist across the University and are relevant to the School, Office or Research Centre/Institute
- (b) Considering objectives and priorities at the School, Office or Research

Centre/Institute level

- (c) Identifying external factors (stakeholders, trends, or drivers) that impact objectives of the School, Office or Research Centre/Institute. Examples include legislation, government initiatives, economic climate, competition, regulations and stakeholders such as accreditation bodies, industry partners and government departments
- (d) Identifying critical processes and activities undertaken by the School, Office or Research Centre/Institute to achieve its objectives
- (e) Reviewing prior risk assessments (if available).

A template to record the objectives, factors and processes/activities is at **Appendix A**.

4.3 Step 2: Assess Risks

Risks comprise any event or action that impacts on the ability to achieve objectives – that is, the effect of uncertainty on objectives. Examples of risks are events that may expose the University or its community to the possibility of economic loss or gain, any kind of damage, injury or delay, or negative impact on the University’s reputation. Risks may also comprise events or actions that could result in missed opportunities. Risks may have a positive or negative impact.

This step involves three main phases: risk identification; risk analysis and risk evaluation.

4.3.1 Risk Identification

The aim of this phase is to identify a comprehensive list of events that may have an impact on the ability to achieve objectives identified from the context established at step 1, and possible causes or scenarios that may lead to these events. Broad engagement of staff within the School, Office or Research Centre/Institute to identify risks is often critical to ensure that potential risks are not overlooked.

The University classifies risks into four broad categories (Stakeholder, Financial, Strategic and Operational). Indicative risks in each of these categories at **Appendix B** provide guidance on the types of risks relevant to higher education and vocational education and training.

4.3.2 Risk Analysis

Risk analysis involves developing an understanding of the risk and is undertaken to inform decisions on which risks need to be treated.

Risks are analysed by determining their likelihood (of occurrence) and their impact (of occurrence) and arriving at an appropriate risk rating. This involves:

- (a) Gross risk rating (the risk rating BEFORE considering related controls)
 - i. Using the Risk Likelihood/Probability descriptor (Appendix C), determine the most appropriate likelihood of the risk occurring. Record this likelihood in

- the Likelihood column of the Gross Risk row in the risk assessment template at Appendix D.
- ii. Using the Risk Impact/Consequence descriptor (**Appendix E**), determine the most appropriate impact of the risk occurring. Record this impact in the Impact column of the **Gross Risk** row in the risk assessment template at **Appendix D**.
 - iii. Using the Risk matrix (**Appendix F**) (and based on the likelihood and impact identified above) determine the “**Gross**” risk rating i.e. Extreme, High, Moderate or Low. Record this risk rating in the Risk Rating column of the **Gross Risk** row in the risk assessment template at **Appendix D**.

- (b) Consider and record controls in place to manage the identified risk
- i. Consider **existing controls** (or actions) in place to manage the identified Gross risk. Record these controls in the “Key Control Name” column of the risk assessment template at **Appendix D**.
 - ii. Determine the **control effectiveness percentage** to highlight the importance of controls. Record these in the Control Effectiveness column of the risk assessment template at **Appendix D**.
 - iii. Complete the Control Description, Control Owner and Comments column to provide further information on identified controls. Record these in their relevant columns of the risk assessment template at **Appendix D**.
- (c) Net risk rating (the risk ranking AFTER considering related controls)
- i. Using the Risk Likelihood/Probability descriptor (**Appendix C**), determine the most appropriate likelihood of the risk occurring (after considering the controls identified in Step 2). Record this likelihood in the Likelihood column of the **Net Risk** row in the risk assessment template at **Appendix D**.
 - ii. Using the Risk impact/Consequence descriptor (**Appendix E**), determine the most appropriate impact of the risk (after considering the controls identified in Step 2). Record this impact in the Impact column of the **Net Risk** row in the risk assessment template at **Appendix D**.
 - iii. Using the Risk matrix (**Appendix F**) (and based on the likelihood and impact identified above) determine the “Net” risk rating i.e. Extreme, High, Moderate or Low. Record this risk rating in the Risk Rating column of the **Net Risk** row in the risk assessment template at **Appendix D**.
 - iv. Review the overall risk ratings by confirming that significant risks are captured and prioritised appropriately to reflect the area’s operations/activities and current environment.
 - v. Confirm assessment referring to the risk ratings and descriptions at the bottom of the risk assessment template (**Appendix D**).

4.3.3 Risk Evaluation

The purpose of risk evaluation is to assist in making decisions, based on the outcomes of risk analysis, about which risks need treatment and the priority for treatment implementation.

Risk evaluation involves comparing the level of risk found during the analysis process with risk criteria established when the context was considered. Based on this comparison, the need for treatment can be considered.

The risk evaluation can also lead to a decision not to treat the risk in any way other than maintaining existing controls.

4.4. Risk Treatment

Risk treatment involves selecting one or more options for managing risks, documenting these in a Risk Register, and implementing those options. Once implemented, treatments provide or modify the controls. Selecting each option involves balancing the costs of implementation against the benefits to be derived from it. In general, the cost of managing risks needs to be commensurate with the benefits obtained.

Risk treatment involves three main steps, as follows.

4.4.1 Determine treatment option to mitigate the risk

Using the Risk Treatment Options matrix (**Appendix G**) to help select the best treatment option to mitigate the risk, as follows:

- Accepting / retaining the Risk by informed decision;
- Reducing the likelihood and consequences of a Risk;
- Avoiding the Risk by deciding not to start or continue with the activity that gives rise to the Risk;
- Taking or increasing Risk in order to pursue an opportunity; and/or
- Transferring /sharing the risk with another party or parties e.g. insurance.
- Record the appropriate treatment option in the Treatment Option column of the Net Risk row in the risk assessment template at **Appendix D**.

4.4.2 Determine action to manage the risk

- If the “Accept/Retain” treatment option is selected, no further action is required (note: this treatment option is usually selected for “Low” rated risks).
- If the “Reduce” treatment option is selected, record the appropriate action in the Risk Register that is currently in place or that will be instigated, to manage and/or mitigate the risk.
- If the “Transfer” treatment option is selected, record the option for transfer (for example through outsourcing, the use of contracts, insurance or to another area of the University). The third party accepting the risk should be aware and agree to accept this obligation.
- If the “Avoid” treatment option is selected, the activity responsible for giving rise to the risk will not be commenced or will be discontinued where this is practicable (note: this option is very rarely selected due to obvious reasons). Inappropriate risk avoidance may lead to the loss of opportunities.
- Record the action in the ‘actions’ column of the Net Risk row in the Risk Assessment Template at **Appendix D**.

4.4.3 Record outcomes in Risk Register

Record outcomes of the risk assessment, including actions to mitigate risks in the Organisational Unit’s Risk Register and Action Plan (**Appendix H**). Identify the person

(preferably by position) responsible for the managing the action. Also record a “Target Date” for completion of the activity.

Record any documentation of the migrating activity that exists e.g. records, reports, meeting minutes etc.

4.5 Monitoring, review and reporting

Monitoring and review is a planned part of the risk management process, involving monitoring progress and recording completion of actions taken to mitigate the risk, and modifying actions as necessary to take into account changed circumstances.

The Risk Register for each School, Office or Research Centre/Institute is also reviewed to identify risks for which residual rating (following mitigation) is High or Extreme. Funding required to initiate or to continue mitigation strategies associated with the risk/s is considered and included in budget requests, as appropriate.

Within each School, Office or Research Centre/Institute, monitoring and review should form part of planning processes, and be undertaken at least twice per annum, with outcomes documented and reported to the Dean. A status report on progress of mitigating any risks categorised as ‘extreme’ or ‘high’ should then be reported to the Head of Campus by the Dean or Executive Director. The “Extreme” and/or “High” risks of each School, Office or Research Centre/Institute and area will be reflected in the Campus Risk Register.

Appendix A - Objectives, Internal / External Factors and Processes

School, Office or Research Centre/Institute Name:

Objectives (List the basic objectives of your School, Office or Research Centre/Institute)	Internal / External factors (List the internal and external factors that impact your School, Office or Research Centre/Institute objectives e.g. people, systems (internal) and legislation, government initiatives (external))	Processes/Activities (List the critical processes and activities (things your department does e.g. research, practicum's etc.) to achieve these objectives)

Appendix B – Indicative Risk Areas

The University classifies risks into four broad categories:

1. **Stakeholder**- including: maintaining the University’s Catholicity; relations with and support of the Catholic Church, experience and support for students; Government relations
2. **Strategic** – including: the University’s reputation; competition
3. **Operational** – including: teaching and learning; research; regulatory and legislative compliance; staffing profile and staff relations; Work Health and Safety (WHS); records management; infrastructure (including IT systems; facilities, equipment), Business Continuity Management and Disaster Recovery
4. **Financial** – including: debt levels and servicing requirements; revenue and cost management; income sources; contract management; fraud/theft

In some instances, risks may be classified across more than one category.

CATEGORY: STAKEHOLDER

Sub-Category	Example Events
Catholicity	<ul style="list-style-type: none"> • Teaching approach fails to integrate learning across disciplines and promote the complementarity of faith and reason (in line with Catholic Intellectual tradition) • Actions are undertaken (or there is perceived support for such actions) that are inconsistent with teachings of the Church
Student Experience and Support	<ul style="list-style-type: none"> • Insufficient/inadequate quality of library and learning resources • Low or declining student retention rates (increasing student attrition) • Declining course completion rates • Issues raised multiple times through student grievances • Inadequate learning support services (e.g. academic support; IT support) • Declining student satisfaction levels • Inadequate personal support services (domestic and international students)
Industry, Sector or Community	<ul style="list-style-type: none"> • Loss of support for University from key stakeholders (such as Catholic Education Office) • Loss of confidence in the University’s integrity by community groups • Loss of confidence in the University’s graduates by key employers

CATEGORY: STRATEGIC

Sub-Category	Example Events
Reputation and competition	<ul style="list-style-type: none"> • Increased competition (other universities, providers, MOOCs) • Reduced market share • Half year cohort in WA - 2015 • New and emerging fields/disciplines • Not meeting student enrolment targets • Reduction in availability of student placements • Decreased proportion of first preferences/quality of students entering the course

CATEGORY: OPERATIONAL

Sub-Category	Example Events
Teaching and Learning	<ul style="list-style-type: none"> • Outdated curriculum • Lack of capacity (e.g. time, staff) for curriculum development • Inadequate online content • Failure to uphold academic standards – including through moderation of assessment; academic integrity; maintaining equivalence of learning outcomes across locations • Discontinuation/termination of course • Outsourcing or third party arrangements (e.g. placements, teaching or assessment) • Ineffective School/College governance/management arrangements for T&L • Lack of external input/benchmarking to teaching and learning, curriculum changes and development
Research	<ul style="list-style-type: none"> • Lack of appropriate supervisors for HDR students • Inability to attract HDR students • Difficulty in accessing co-supervisors • Difficulty in securing external examiners • Lack of research capacity
Regulatory, Legal and Compliance	<ul style="list-style-type: none"> • Loss of or conditional professional accreditation/ registration of course • Changes to external policy/regulations • Copyright breaches • Non-compliance with AQF requirements, eg: <ul style="list-style-type: none"> ○ Course learning outcomes not in place ○ Non-equitable and non-transparent provision of credit • Non-compliance with HE Threshold Standards requirements, eg relating to: <ul style="list-style-type: none"> ○ Equivalence of learning outcomes across delivery locations ○ Qualifications of staff in each discipline ○ Consistency of assessment ○ Benchmarking of academic standards against other providers ○ Systematic course updating/review • Non-compliance with University regulations and policy • Course regulations not updated • Potential for litigation (staff/student/community) • Potential or actual conflicts of interest (e.g. relating to student admissions, staff reporting arrangements) • Breaches of legislation (e.g. Trade Practices Act) • Non-compliance with ESOS Act and National Code requirements (relating to international students), e.g. <ul style="list-style-type: none"> ○ Inaccurate marketing/misleading information to students ○ No monitoring of student progress • Non-compliance with VET Quality Framework, eg. <ul style="list-style-type: none"> ○ Assessment meeting Training Package requirements ○ Qualifications, current competence and industry currency of trainers and assessors
Staffing profile and Staff Relations	<ul style="list-style-type: none"> • Loss of key staff • Over-reliance on single staff member skills and expertise, with no succession planning • High or increasing staff turnover • Lack of collaboration/integration within Colleges

Sub-Category	Example Events
	<ul style="list-style-type: none"> • Loss of knowledge • Inadequate or difficulties in securing discipline leadership • Inadequate professional development of staff • Teaching staff not qualified to at least one AQF level higher than course they are teaching, or with equivalent professional experience • Inability to replace key staff (recruit) • Unable to retain key staff • Recurring issues raised in staff complaints/grievances not addressed and affecting culture • Lack of integration and engagement of casual staff • Inadequate support provided to casual staff
WHS	<ul style="list-style-type: none"> • Threats to public health and safety • Threats to student health and safety (e.g. during classroom/ laboratory exercises, industry placements, fieldtrips) • Threats to security and health and safety of staff • Ineffective WHS Management System
Infrastructure, facilities and environment, including IT and records management	<ul style="list-style-type: none"> • Insufficient or substandard/outdates facilities and special equipment for teaching requirements • Inadequate research infrastructure • Insufficient technology to support teaching spaces • Poor quality/inadequate laboratory facilities and space • Damage to facilities or equipment • Loss of property • Inadequate integrity/reliability of IT systems, including within teaching environments • Insecure information, including student and staff records • Ineffective records and data management processes (e.g. records of credit granted to ensure consistency in decision making) • Inability of students to access online resources (training, availability) • Lack of IT expertise
Business Continuity Management and Disaster Recovery	<ul style="list-style-type: none"> • Significant business interruption, for example through breach of information security/cyber crime • Natural disasters

CATEGORY: FINANCIAL

Sub-Category	Example Events
Financial	<ul style="list-style-type: none"> • Declining external grants/funding sources • Declining Revenue • Failures in cost management (including invoicing) • Inadequate contract management • Fraud/theft • Inadequate processes for commercial negotiations/decision making • Limited diversity of revenue sources

Risk Likelihood / Probability Descriptor	
5 - Almost Certain	Very likely. The event is expected to occur in most circumstances as there is a history of regular occurrence at the University &/or similar institutions. Probability of occurring during one year - over 75% (i.e. more than once per semester).
4 - Likely	There is a strong possibility the event will occur as there is a history of frequent occurrence at the University &/or similar institutions. Probability of occurring during one year – 50-74% (i.e. more than once over two semesters).
3 - Possible	The event might occur at some time as there is a history of casual occurrence at the University &/or similar institutions. Probability of occurring during one year – 25- 49% (i.e. more than once over four semesters).
2 - Unlikely	Not expected, but there’s a slight possibility it may occur at some time. Probability of occurring during one year – less than 25% (i.e. once every three to five years).
1 - Rare	High unlikely, but it may occur in exceptional circumstances. It could happen, but probably never will. Not likely in next 5 years.

Appendix D - Example of Risk Assessment Template

Department	School of Medicine - Sydney			General commentary	
Risk Profile Owner					
Risk Id					
Risk Category	Financial				
Risk Description					
Cause Driver					
Impact					
Risk Assessment	Likelihood (4.3.2 a)	Impact (4.3.2 a)	Risk Rating (4.3.2 a)	Rationale/justification /trend	
Gross Risk	2 - Unlikely	3 - Moderate	6 - Moderate		
Key Control Name (4.3.2 b)	Control Effectiveness (4.3.2 b)	Control Description (4.3.2 b)	Control Owner (position) (4.3.2 b)	Comments (4.3.2 b)	
Risk Assessment	Likelihood (4.3.2 c)	Impact (4.3.2 c)	Risk Rating (4.3.2 c)	Treatment Option (4.4.1)	Actions (4.4.2 – 4.4.3)
Net Risk	1 - Rare	2 - Minor	1 - Low	Accept/Retain	

Appendix E – Risk Impact / Consequence Descriptor / Examples

Risk Impact / Consequence Descriptor / Examples					
Risk Category	1 - Insignificant	2 - Minor	3 - Moderate	4 - Major	5 - Catastrophic
Stakeholder	Low effect on achievement of University's Objects; resolved in normal operations	Minor effect on achievement of University's Objects; Dean/ED effort required to resolve	Significant effect on achievement of University's Objects; DVC/PVC attention required to resolve	Major effect on achievement of University's Objects; Vice Chancellor attention required to resolve	Disastrous effect on achievement of University's operational Objects; Vice Chancellor / Board attention required to resolve
Strategic	Negligible impact	Local impact causing adverse local media coverage	State-wide impact causing adverse state media coverage	National impact causing adverse and extended national media coverage	International impact causing adverse international media coverage and government intervention
Operational	Negligible. Minor interruption to class No and/or minor injury; First Aid required but no absenteeism	Inconvenient. Cancellation of single classes (once off/ad-hoc) Minor injury; Medical treatment required off site & some absenteeism	Student / staff dissatisfaction, Cancellation of classes (multiple classes for same reason), closure of building or facility for less than 1 day Serious injury requiring hospitalisation & long term absenteeism	Sanctions. Cancellation of classes for 1 to 3 days, closure of building or facility for less than 1 week. Serious injury causing long-term illness and/or disability or multiple serious injuries	Loss of accreditation. Cancellation of classes for more than 3 days, closure of building or facility more than a week Single or multiple death/s or permanent disability or ill-health
Financial	Financial loss less than \$50K	Financial loss greater than \$50K and less than \$100k	Financial loss greater than \$100k and less than \$250k	Financial loss greater than \$250k and less than \$1M	Financial loss greater than \$1M

Appendix F – Risk Matrix

		Risk Matrix				
		Impact				
		1 - Insignificant	2 - Minor	3 - Moderate	4 - Major	5 - Catastrophic
Likelihood	5 - Almost Certain	5 - MODERATE	10 - MODERATE	15 - HIGH	20 - EXTREME	25 - EXTREME
	4 - Likely	4 - LOW	8 - MODERATE	12 - HIGH	16 - HIGH	20 - EXTREME
	3 - Possible	3 - LOW	6 - MODERATE	9 - MODERATE	12 - HIGH	15 - HIGH
	2 - Unlikely	2 - LOW	4 - LOW	6 - MODERATE	8 - MODERATE	10 - MODERATE
	1 - Rare	1 - LOW	2 - LOW	3 - LOW	4 - LOW	5 - MODERATE

Risk Treatment / Escalation Protocols		
Rating	Description	Required Action
E	EXTREME	Likely to threaten the survival or continued effective function of the course or the organisation, either financially or politically. Immediate action required; Must be managed by Head of Campus with a detailed treatment plan reported through Vice Chancellor to Board.
H	HIGH	Likely to cause damage, disruption or breach of controls. Senior management attention needed and management responsibility specified; Treatment plans to be developed and implemented by Dean/Executive Director reported to Head of Campus and then to PVC (Strategy and Planning) for reporting to the Vice-Chancellor.
M	MODERATE	Unlikely to cause much damage and/or threaten the efficiency and effectiveness of the program/activity; manage by specific monitoring or response procedures. Treatment plans to be developed and implemented by operational managers and progress reported to Dean/Executive Directors
L	LOW	Unlikely to require specific application of resources; manage by routine procedures. Monitor and review. Implemented by operational manager and reported to Dean/Executive Director.

Risk Treatment Options	
Options	Required Action
Accept / Retain the Risk	Allocate appropriate funding to finance the retained risks if it cannot be avoided, reduced or transferred, or where the cost involved is not justified.
Reduce Likelihood and/or Impact of Risk	<p>Decrease the possibility of the risk occurring and/or the adverse impacts of the risk if it does occur.</p> <p>Possible actions to reduce likelihood include: review of requirements, specifications, design and operations; inspection and process controls; project management; preventative maintenance; quality assurance, management and standards; technological research and development; structured training and other programs; supervision.</p> <p>Possible actions to reduce impact include: contingency or crisis management planning; business continuity planning; fraud control planning; relocation of an activity and resources, public relations.</p>
Transfer the Risk	Involve another party in sharing all or part of the risk by the use of contracts, out-sourcing, insurance, joint ventures, partnerships etc.
Avoid the Risk	Where practicable, do not proceed with an activity that is likely to generate an unacceptable risk.

Appendix H - Organisational Unit Risk Register and Action Plan (YEAR)

[Insert name of School, Office or Research Centre/Institute]

Risk ID	Risk Category	Risk Description	Gross / Inherent Risk Rating	Existing Controls	Net / Residual Risk Rating	Proposed Action	Responsibility	Completion Date
TL1	Operational	Lack of available student placements	10 - Moderate	Close engagement with schools; quality assurance processes in place	4 - Low	NA – Low risk	NA	NA
FR1	Financial	Failure to achieve targeted student numbers	20 - Extreme	Enhance marketing strategies, including overhaul of School website, target overseas students, and mid year entry marketing. Curriculum review to consider how course/s may be attractive to more students (e.g. workload, focus on niche areas)	12 - High	Consider targeting prospective students from other markets/TAFE pathways Curriculum review to refresh course and consider ways to make it more attractive to students Enhance linkages with the professions and Alumni to promote course and input to curriculum review.	Dean Associate Dean, T&L Marketing Committee	Dd/mm/yy
WSR1	Operational	Rural placements and overseas electives in high risk areas	15 - High	After event feedback recorded and used to mitigate risks Risk assessments undertaken prior to major placements Student and supervisor briefings	8 - Moderate	Continuing review and risk assessment of placements/overseas electives Strengthen student and supervisor briefings to confirm WHS responsibilities and communicate ways to minimise WHS risks	Dean Associate Dean, T&L Placement Coordinator	

Risk ID	Risk Category	Risk Description	Gross / Inherent Risk Rating	Existing Controls	Net / Residual Risk Rating	Proposed Action	Responsibility	Completion Date
RLC1	Operational	Non-compliance with HE Standards and AQF requirements – learning outcomes not equivalent across delivery locations	15 - High	Course Learning Outcomes being developed	4 - Low	Mapping Course Learning Outcomes across locations and updating assessments/curriculum as necessary	Dean Associate Dean, T&L Course Coordinators	
RC1	Strategic	New, similar course introduced at Curtin	12 - High	Reputation is maintained by quality of graduates and students on placements/ practicums	5 - Moderate	Review and enhance marketing strategies and increase budget to support marketing	Dean Marketing Committee	
IFE1	Operational	Inadequate laboratory equipment	12 - High	Increase class sizes Collaborate with other schools	8 - Moderate	Attempt to source equipment as donations/reduced prices Increase budget to secure additional equipment	Dean Clinical Coordinator	
RES1	Operational	Lack of research and scholarship opportunities	12 - High	Research Committee in place	12 - High	Review curriculum and teaching loads to identify opportunities for more research time Identify potential suitable research grants/projects and support staff applications	Dean Associate Dean, Research Research Committee	
ST1	Operational	Unavailability of staff member who solely delivers unit	20 - Extreme	Assign class to another lecturer Bring in sessional staff	12 - High	Maximising the number of staff who have the ability to teach several units. Hire staff specifically to provide teaching relief where necessary	Dean Associate Dean, T&L Course Coordinators	

Risk ID	Risk Category	Risk Description	Gross / Inherent Risk Rating	Existing Controls	Net / Residual Risk Rating	Proposed Action	Responsibility	Completion Date
						Ensure lecture notes and learning resources are available centrally for quick access by other staff as needed		
SES1	Stakeholder	Students withdrawing from course / units increasing (attrition rates increasing)	15 - High	Academic and personal support for students Review	12 - High	Enhance pastoral care for students, including academic support, one-on-one counselling Introduce exit interviews to ascertain reasons for leaving Strengthen moderation processes and validate assessment tools for relevant units Increase frequency of student evaluation and use feedback to help inform curriculum review	Dean Associate Dean, Students Course Coordinators	Dd/mm/yy

Refer to Indicative Risk Areas for examples of events relating to each category