

CATHOLIC UNIVERSITY OF HEALTH AND ALLIED SCIENCES



RISK MANAGEMENT FRAMEWORK

2023

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1.0 INTRODUCTION

The Catholic University of Health and Allied Sciences (CUHAS), owned by the Tanzania Episcopal Conference (TEC), provides training for over 3,000 students. CUHAS is currently running programmes in Doctor of Philosophy (PHD), Master of Medicine (MMed) programmes, Master in Public Health (MPH), Master of Science in Pediatric Nursing (M.Sc. PN), Master of Science in Clinical Microbiology and Molecular Biology (M.Sc. CMMB), Master of Science in Epidemiology and Biostatistics, Doctor of Medicine (MD), Bachelor of Pharmacy (B. Pharm), Bachelor of Science in Nursing Education (B.Sc.NED), Bachelor of Science in Nursing (B.Sc. N), Bachelor of Medical Laboratory Sciences (BMLS), Bachelor of Science in Medical Imaging and Radiotherapy (B.Sc. MIR), Diploma in Pharmaceutical Sciences (DPS), Diploma in Medical Laboratory Sciences (DMLS), and Diploma in Radiography (DDR).

The Catholic University of Health and Allied Sciences is approaching its 20th years old since its establishment in year 2003 without Risk Management Plan. Due to this, the 38th Council Meeting held in February 2021, directed that Catholic University of Health and Allied Sciences (CUHAS) to develop a Risk Management Framework which may later translated into a Risk Management Plan.

"We don't manage risks so we can have no risk. We manage risks so we know which risks are worth taking, which ones will get us to our goal, which ones have enough of a payout to even take them," said Forrester Research senior analyst Alla Valente, a specialist in governance, risk and compliance.

The process of developing this document started in mid-April 2021 through a nominated team by Vice Chancellor to compile registered risks from departments, schools and directorates. The CUHAS Risk Task Force Team (CUHAS-RTFT) compiled a risk register book which formalizes risks in a way that enables wider consideration and discussions within management or at school board levels.

Risk management is a continuous process at any planned activity from the beginning to the end. Even during the formulation of this risk register, a risk management process was considered from beginning during the formulation of the team, planning, data collection, and compilation in which the tools used to identify the risks were through discussions, interviewing, and brainstorming with stakeholders.

This activity coincided with the recently launched 5YRS CUHAS Rolling Strategic Plan for 2021/2022 to 2025/2026 therefore strategies to mitigate identified risks were included in the plan. The execution of the targets during the implementation of the university strategic plan will significantly ensure mitigation of the risks.

Risk management when conducted effectively, reduce sudden surprises, and makes being aware of a risk to bear among all the risks that have been identified in the register for a particular school/section/ unit and finally can help preparation for any eventuality may occur.

Every staff in our university needs to be made aware of the risks he/she faces and the steps that he/she can take to reduce these risks.

The following sections provides the risk management framework and summarize risks collected from different departments/units, schools, directorates and provide the current control strategies and plans to minimize the risk.

2. PURPOSE – SCOPE – LIMITS – TOLERANCE LEVEL

2.1. The purpose of the Framework

The main purpose of the Risk Management Framework is to ensure that the University pursues a structured and formalized approach to the effective management of risk. The purpose of the framework is to:

- formalize risk decision-making and risk management processes within the University
- raise awareness of risk exposures; and
- perpetuate a risk- aware culture for all university employees

2.2. Scope and Application of the Framework

This framework is intended to cover University staff and its institutions. It is expected that the risk management processes become embedded in the University' systems and processes, to ensure that our response to risks remains current, consistent and dynamic.

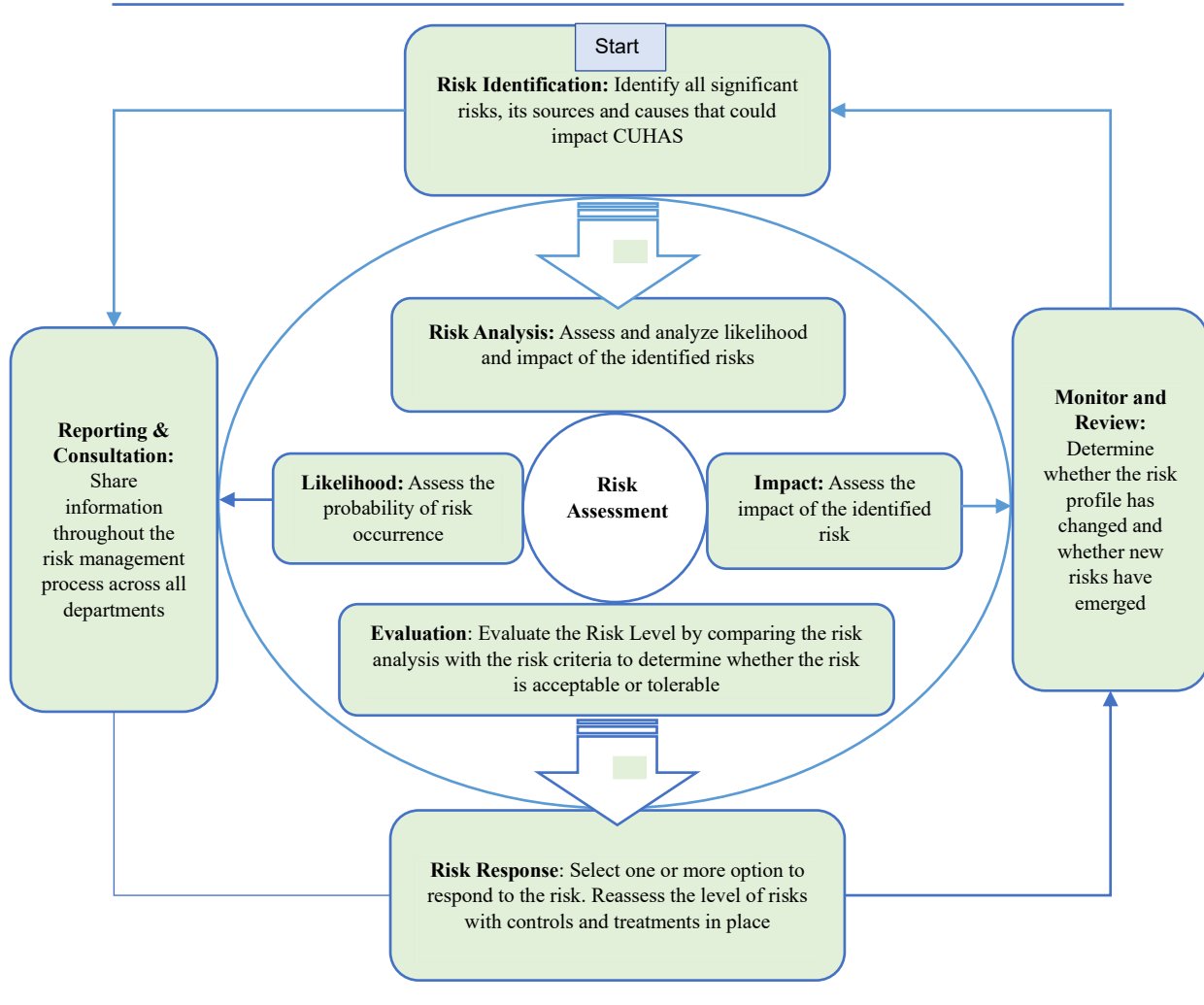
2.3. Risks Limits and Tolerance Levels

As a rule of thumb, any risk regardless of types and levels will be dealt adequately to ensure the risks are at lowest level as possible. It is tricky and challenging to set a clear benchmark on what should/not be tolerated. For decision making purposes the approved university procedures as per regulations and policies will be followed to ensure accountability in the risk management.

3. METHODOLOGY AND APPROACH

The Risk Management Methodology and Approach for CUHAS outlines the process of identifying, assessing, analyzing, evaluating and treating potential risks in its operations.

CUHAS Risk Management Methodology and Approach



3.1. Risk Identification

Risk identification is a critical activity that identifies all significant sources of risk, including those beyond CUHAS' control. At this stage all possible significant risks that can impact CUHAS are identified. Risks can be identified through the use of; focus group discussion; workshops; and interviews etc. The risks will be identified by risk champions and reviewed annually by CUHAS management. CUHAS will facilitate ongoing operational reviews of the risk registers and action plans.

3.2. Risk Assessment

The level of risk is determined by measuring the likelihood of each event arising and the associated impact. Measuring the level of likelihood and impact will generally be assessed against the direct financial and operational impacts to CUHAS. However, for some risks the most significant consequence is the impact on CUHAS' reputation rather than the direct financial consequence.

For such risks, the direct financial consequence of a risk may be negligible, but continuing reoccurrences may result in significant damage to the University' reputation and standing which impacts the attractiveness of the University to its stakeholders or future operations.

Probability or likelihood estimations are established giving due consideration to the effectiveness of existing control measures. The impact evaluation criteria define the consequence criteria, assessed against potential financial loss, reputation impact, compliance and management time and effort.

The limits contained in these impact evaluation criteria are based on the management's assessment of the University' ability to continue operation in the event of a risk being realized.

3.2.1 Risk Ranking and Prioritization Matrix

Risk rating	Score	Descriptions	Responsible and Action required
Extreme	20-25	Risks that significantly exceed the acceptable tolerance and need urgent and immediate attention (Corporate Risks)	University Executive: Immediate action required. <ul style="list-style-type: none"> Escalate to the responsible University Executive immediately with a detailed action plan. Report to the Vice Chancellor and Council
High	10-16	Risks that exceed the risk acceptance threshold and require proactive management (Management risks)	Deans/Directors/HoDs: Action required. <ul style="list-style-type: none"> Escalate to responsible management immediately with detailed action plan to reduce the risks to an acceptable level within three months. Report to VC or DVCs and Management appropriate
Moderate	4-9	Risks that are within the acceptable threshold and require monitoring (Functional risks)	Deans/Directors/HoDs: Action required. <ul style="list-style-type: none"> Escalate to responsible management immediately with detailed treatment plan to reduce the risks to an acceptable level within 3-6 months.
Low	1-4	Risk that are below the acceptable threshold and do not require active management (Operational risks)	Operational level responsibility: Action not required. <ul style="list-style-type: none"> Significant management effort should not be directed towards these risks

Color code

Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)

3.2.2. Evaluate and Record Existing Controls

Existing controls are identified, and the control effectiveness is assessed based on management’s understanding of the controls effectiveness.

Level of control	Definition
Good	A high degree of reliance can be place on the system of internal control. Compensating controls are in place such that even if part of the system breaks down, the four control criteria will probably still be met
Satisfactory	The controls can be relied upon; however, some improvements to controls can be made
Marginal	The control criteria includes; Reliable and accurate information; Compliance with policies, plans, procedures, laws, regulations and contracts; Safeguarding of assets; and Economic and efficient use of assets.
Weak	The system of internal control cannot be relied upon to meet the four control criteria. If there has not already been a significant breakdown, it is only a matter of time before this occurs

3.2.3. Risk Assessment Form

Area:			Assessment Date:			Number:
Risks	Risk Analysis		Existing Risk Controls			Further Action Required
	Impact	Likelihood	Risk Level	Mitigations	Effectiveness of Strategies	

3.3. Risk Response

The objective of this step is to identify responses to various risks. Risk responses involves identifying the options for treating each risk, evaluating those options, assigning accountability (for Extreme, High and Moderate residual risks) and taking relevant action. The following options are available for treating risks and may be applied individually or in combination, with due consideration of risk appetite:

Action	Description
Avoid the risk	Not to proceed with the activity or choosing an alternative approach to achieve the same outcome. Aim is risk management, not aversion.
Mitigate	Reduce the likelihood - Improving management controls and procedures. Reduce the impact by putting in place strategies to minimize adverse consequences, e.g. contingency planning, and liability cover in contracts.
Transfer the risk	Shifting responsibility for a risk to another party by contract or insurance. Can be transferred as a whole or shared.
Accept the risk	Controls are deemed appropriate. These must be monitored and contingency plans developed where appropriate.

3.4. Monitoring and Reviewing

The objective for this step is to monitor the risks and effectiveness of the risk treatment program. Risks should be reviewed regularly to ensure relevancy and currency.

3.5. Reporting and Consultation

Ongoing communication and consultation with all involved parties to ensure understanding of the process and its intended outcomes will be carried out by CUHAS Head of Risk Management. This involves facilitating ongoing operational reviews of risk registers, coordinating risk assessments for specific sub-grantees and ongoing advice and support to ensure compliance with the Risk Management Framework.

3.6. General Operationalization (Reporting Format & Frequency)

As part of the core function of the framework, the process of identifying and mitigating risks forms an integral component of the University' day to day operations.

Depending at the process level, different reporting timeline and format will be provided. The reporting will be done on quarterly basis where the risks champions will report to departmental Heads; departmental Heads will report to Deans/Directors; Deans/Director will report to Deputy Vice chancellors; and the Deputy Vice chancellors will report to Vice Chancellors and ultimate to appropriate University organs. University staff will be oriented and sensitized at least twice a year on risk issues and framework to cultivate a risk aware culture within the university.

In order to be on top of the risk environment, risk register will be reviewed quarterly to determine risk levels and rankings. For independence purposes, the Risk management processes will be reviewed by an independent Risk Management Office and recommendations to improve the process will be put forward for the University to consider.

4. RISK GOVERNANCE: ROLES AND RESPONSIBILITIES

The risk management framework adopted by CUHAS ensures that key risks are identified, measured and managed. The risk management framework provides management with proven risk management tools that support their decision-making responsibilities and processes, together with managing the risks that impact on the University objectives.

Risk management is a central part of CUHAS strategic management and is the system whereby the risks associated with the University’ activities are methodically addressed with the goal of achieving sustained risk-free environment.

Detailed responsibilities for key risk management role players are indicated below.

Risk Governance	Responsibilities
	<ul style="list-style-type: none"> Approval of Risk Management Framework (RMF)
	<ul style="list-style-type: none"> Quality Assurance and approval of risk mitigations Drive the RMF formulation and implementation Oversight of management’s responsibilities to assess and manage the program’s risks. Review the strategies, policies, frameworks and procedures for risk management. Advise on risk implications Appraisal of management’s performance in risk management through the internal audit function and/or external assurance providers.
	<ul style="list-style-type: none"> Periodic assessment of compliances to RMF and lead internal audit
	<ul style="list-style-type: none"> Deployment of necessary university staff and students Take disciplinary measures against noncompliances
	<ul style="list-style-type: none"> Custodian of RMF Supervision of RMF implementation
	<ul style="list-style-type: none"> Makes close follow-up on implementation of the risk framework
	<ul style="list-style-type: none"> Enforcement of Risk Management Framework
	<ul style="list-style-type: none"> Champion implementation of RMF Keep the risk register updated

Risk Governance	Responsibilities
	<ul style="list-style-type: none"><li data-bbox="553 199 1432 277">• Ensure risks are identified, assessed, reported and mitigated properly

5.0 RISK ANALYSIS

Risk title: Decrease Quality of Teaching		Risk ID: 1-23
Risk Description		
Risk Explanation	Inadequate use of acceptable teaching methodologies due to increase number of students.	
Principal risk owner	DVC ARC	
Supporting owner(s)	Deans and Directors	
Risk Category	Academic (Management risks)	
Existing Control/plan	<ul style="list-style-type: none"> ▪ Availability of Medical Education Unit ▪ Availability of Quality Assurance Directorate ▪ Mandatory requirement of Teaching Methodology Courses ▪ Regular Curriculum orientation workshops ▪ Availability of Recruitment plan 	

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Increased number of students in class. ▪ Poor teaching commitment to some of the faculty. ▪ Sub-adherence with curriculum implementation 	Consequence(s): <ul style="list-style-type: none"> ▪ Produce unqualified Graduands. ▪ Decrease of the University reputation

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (.....)	12 (HIGH)				
Key risk mitigation/controls currently in place:						
<ul style="list-style-type: none"> ▪ Monitoring implementation of teaching methodology Courses. ▪ Recruit more academic staff to attain optimal staff: students' ratio. ▪ Identify competencies required for each programme. ▪ Appoint Quality Assurance Officer for each department to monitor teaching. ▪ Set aside more budget for remunerate staff with more teaching workload. 						

Risk title: Inadequate Teaching Facilities and Offices	Risk ID: 02-23
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Risk Description	
Risk Explanation	Number of new programmes and number of students should match with the increase of Infrastructure
Principal risk owner	DVC ARC & PFA
Supporting owner(s)	Deans and Directors
Risk Category	Academic/ Management risk & Strategic
Existing Control/plan	<ul style="list-style-type: none"> ▪ Construction of new Buildings ▪ Sessional teaching/divide students into small groups ▪ Availability of office sharing Policy

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Non extension of teaching space as a result of increased students (Laboratories, classes, wards, seminar rooms, clinics) laboratories 	Consequence(s): <ul style="list-style-type: none"> ▪ Produce sub-standard/incompetent graduates

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (....)	12 (HIGH)				
Key risk mitigation/controls currently in place:						
<ul style="list-style-type: none"> ▪ Ongoing construction of Postgraduate Block ▪ Extend capacity of Sengerema teaching Center. ▪ Review rotation timetable/contents and introduce more sessional practical teachings. ▪ Establish new academic entry (March intake) 						

Risk title: Closing of Diploma programmes (DPS, DDR, DMLS)	Risk ID: 03-23
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Risk Description	
Risk Explanation	The current ratio of faculty: students for diploma programmes is unacceptable
Principal risk owner	DVC ARC & PFA
Supporting owner(s)	Deans and Directors
Risk Category	Academic/Management risk & Strategic
Existing Control/plan	<ul style="list-style-type: none"> ▪ Use of sessional teaching ▪ Engage Tutorial assistants to teach diploma courses. ▪ Attractive scheme of service for tutors ▪ Recruitment plan

Risk Causes and Consequences	
Causes:	Consequence(s):
<ul style="list-style-type: none"> ▪ Non extension of teaching space as a result of increased students (Laboratories, classes, wards, seminar rooms, clinics) laboratories. 	<ul style="list-style-type: none"> ▪ Limited number of students. ▪ Loss of revenue/income

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (.....)	15 (HIGH)				
Key risk mitigation/controls currently in place and their strengths/ weaknesses:						
<ul style="list-style-type: none"> ▪ Recruit 10 Tutors in 2022/2023 and 2023/2024 budget ▪ Retain good students from BMLS, BPharm and BMIR as tutors ▪ Establish new academic entry (March intake) 						

Risk title: Inadequate students' assessments	Risk ID: 04-23
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Risk Description	
Risk Explanation	Possibility of poor students' assessment
Principal risk owner	DVC ARC
Supporting owner(s)	Deans, Directors, QA, Examination Officer and HPEG
Risk Category	Academic/Functional risk
Existing Control/plan	Availability of Directorate of Quality assurance and medical education unit Availability of Teaching Methodology Courses Availability of external examiner guidelines/re-assessment by external examiners Availability of curricula with clear pre-defined assessment methods Availability of Plagiarism policy

Risk Causes and Consequences	
Causes:	Consequence(s):
<ul style="list-style-type: none"> ▪ Non-adherence on existing curriculum. ▪ Inadequate examination quality in written exams /OSCE. ▪ Possibility of bias in examination marking. ▪ Poor constructed of test items. ▪ Possibility of errors during UE results compilation due to insufficient time. 	<ul style="list-style-type: none"> ▪ Failure to assess what was intended. ▪ Unreliability of assessment tools ▪ Failure to produce qualified graduands. ▪ Impair Institution reputation.

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (.....)	6(MODERATE)				
Key risk mitigation/controls currently in place and their strengths/ weaknesses:						
<ul style="list-style-type: none"> ▪ Monitor to ensure all staff attend mandatory Teaching methodology course ▪ Regular conduct curriculum orientation workshops ▪ Adhere to examination regulations and external examiner guidelines. ▪ Adherence to the assessment of modality as defined in the curricula. 						

Risk title: Examination Irregularities	Risk ID: 05-23
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Risk Description	
Risk Explanation	Increase in examination irregularities
Principal risk owner	DVC ARC
Supporting owner(s)	Deans, Directors, QA and Examination Officer
Risk Category	Academic/Operational risk
Existing Control/plan	<ul style="list-style-type: none"> ▪ Availability of examination regulations with zero tolerance in irregularity for both students and staff. ▪ Plagiarism policy with plagiarism checker as mandatory. ▪ Code of conduct and Professionalism policy. ▪ Availability of CCTV systems in big classes

Risk Causes and Consequences	
Causes; <ul style="list-style-type: none"> ▪ Cheating during examination ▪ Inability to detect data fabrication, falsification, plagiarism. ▪ Examination leakage 	Consequence(s): <ul style="list-style-type: none"> ▪ Produce incompetent graduands. ▪ Impair University reputation

risk analysis						
risk	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	6 (MODERATE)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Sensitization of students and staff on examination regulation ▪ Improve students' supervision as stipulated in supervision guidelines. ▪ Strengthening the system of handling examination and construct strong room. ▪ Expand CCTV-Surveillance systems. ▪ Sustain seminars to invigilators before examination. 						

Risk title: Awarding degree with incomplete courses	Risk ID: 06-23
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Risk Description	
Risk Explanation	Insufficient audit of Examination results
Principal risk owner	DVC ARC
Supporting owner(s)	Deans, Directors and Senate
Risk Category	Academic/Operational risk
Existing Control/plan	Availability of a system in approving students results from the Department to Senate

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Poor coordination and crosschecking of examination results. ▪ Insufficient of students' status in the system. 	Consequence(s): <ul style="list-style-type: none"> ▪ Degree award with incomplete course ▪ Loss of Institution reputation

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	4 (LOW)				

Key risk mitigation/controls currently in place and their strengths/ weaknesses:						
<ul style="list-style-type: none"> ▪ Ensure compliance of the systems for approving results ▪ Improve Audit and Quality assurance performance. ▪ Integrate the system to check completion of the required courses in the OSIM ▪ The system of cross-checking the examinations results at the department level 						

Risk title: Misconduct behavior or harmful practice during fieldwork	Risk ID: 07-23
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Risk Description	
Risk Explanation	Increase in Misconduct behavior or harmful practice during fieldwork
Principal risk owner	DVC ARC
Supporting owner(s)	Deans and Directors
Risk Category	Academic/Functional risk
Existing Control/plan	<ul style="list-style-type: none"> ▪ Availability of Code of Conduct ▪ Availability of Examination Regulations ▪ Availability of field supervision practices ▪ Availability of Student By-Law

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Poor field management ▪ Large number of groups in the field ▪ Few numbers of staff supervising the fieldwork 	Consequence(s): <ul style="list-style-type: none"> ▪ Produce incompetent students. ▪ Loss of the University reputation.

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	9 (MODERATE)				
Key risk mitigation/controls currently in place;						
<ul style="list-style-type: none"> ▪ Improve students' follow-up and reporting systems. ▪ Orient local supervisors. ▪ Regular checking of Logbooks ▪ Introduction of the code of conduct during orientation 						

Risk title: Drop of University ranking	Risk ID: 08-23
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Risk Description:	
Risk Explanation	Drop of University ranking
Principal risk owner	DVC ARC
Supporting owner(s)	Deans, Directors (Research and Innovation), QA and ICT
Risk Category	Academic/Functional risk
Existing Control/plan	<ul style="list-style-type: none"> ▪ Research policy ▪ Junior - Senior staff mentorship ▪ Budget to pay for accepted manuscripts indexed by PubMed. ▪ Strategic plan to increase linkages

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Reduced research activities among faculty ▪ Inadequate mentorship ▪ Low visibility 	Consequence(s): <ul style="list-style-type: none"> ▪ Reduce University Visibility ▪ Few young researchers

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	9 (MODERATE)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Capacity building through regular workshop on manuscript writing and grant writing. ▪ Improve University website contents. ▪ Strategies to increase Research collaborations. ▪ Availability of funds for publications 						

Risk title: Employability of CUHAS Graduates (Competitive Risk)		Risk ID: 09-23
Risk Description		
Risk Explanation	Decrease in employability of CUHAS graduate due to competition	
Principal risk owner	DVC ARC	
Supporting owner(s)	Dean/Directors	
Risk Category	Strategic	
Existing Control/plan	<ul style="list-style-type: none"> • Availability of competence-based curricula • Teaching methodology course • CUHAS 2021/2022-2025/2026 Strategic plan (Strategic objective 2) • CUHAS Staff Development Policy • Presence of Medical Education Unity 	

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Low job vacancies with increase number of graduates ▪ Incompetent graduates ▪ Unequal opportunities depending on institutions 	Consequence(s): <ul style="list-style-type: none"> ▪ Decrease in University Reputation ▪ Low students' enrollment

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (...)	9 (MODERATE)				

Key risk mitigation/controls currently in place:	
<ul style="list-style-type: none"> • Appointment of Quality officer at different levels with clear Term of references • Introduction of mentoring systems, with all students assigned mentors • Regular orientation of the faculty on curriculum implementation with emphasis on skills competencies assessment • Field supervision guidelines • Introduction of soft skills modules • Regular tracer study 	

Risk title: Decrease in revenue from internal sources, short courses and consultancies	Risk ID: 10-23
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Risk Description:	
Risk Explanation	Decrease in revenue from internal sources, short courses and consultancies
Principal risk owner	DVC ARC
Supporting owner(s)	Deans, Directors, HoDs and Director PDBI
Risk Category	Academic/Management risk
Existing Control/plan	Availability of Consultancy policy, Curriculum and Financial Regulations

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Few identified Consultancy activities ▪ Insufficient manpower ▪ Inadequate capacity building on consultancies and short courses among the academic and administrative staff. ▪ High competition on seeking consultancy and short courses among higher learning institutions. ▪ Non identified/Under-utilization of Alumni on resource mobilization. ▪ Inadequate infrastructure for increasing number of students' enrollment. 	Consequence(s): <ul style="list-style-type: none"> ▪ Insufficient and inadequate capacity building training. ▪ Insufficient generation of internal funds. ▪ Lower income received from Consultancy.

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	12 (HIGH)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Implement the consultancy policy ▪ Academic staff promotion guidelines that require all consultancies to be registered ▪ Regularly staff sensitization ▪ Availability of consultancy and short courses policies ▪ Availability of Alumni database 						

Risk title: Loss or alteration of students records in OSIM & ELMS	Risk ID: 11-23
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Risk Description:	
Risk Explanation	Loss or alteration of students records in OSIM & ELMS
Principal risk owner	DVC ARC
Supporting owner(s)	Director ICT
	Academic/Functional risk
Existing Control/plan	Availability of ICT Policy, OSIM Guidelines, E-learning Policy, staff code of conduct and levels of approval of students results, existence of hardcopies in the primary source(departments)

Risk Causes and Consequences	
Causes:	Consequence(s):
<ul style="list-style-type: none"> ▪ Unauthorized persons ▪ Hackers ▪ System Misbehavior/Software dysfunction 	<ul style="list-style-type: none"> ▪ Wrong examination results ▪ Produce incompetent students. ▪ Loss of the University reputation ▪ Loss of data

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	8 MODERATE				

Key risk mitigation/controls currently in place:						
<ul style="list-style-type: none"> ▪ Enhance system securities by introducing control and accessibility ▪ Regular Sensitization ▪ System Auditing ▪ Regular review System logs ▪ Regular System Backups ▪ Existence of hardcopies of the results from the primary source(departments) ▪ The system of cross-checking the examinations results at the department level 						

Risk title: Inadequate of admission procedures		Risk ID: 12-23
Risk Description:		
Risk Explanation	Inadequate of admission procedures	
Principal risk owner	DVC ARC	
Supporting owner(s)	Admission Officer and Senate	
Risk Category	Academic/Functional risk	
Existing Control/plan	Availability of Regulators (TCU) and Institutional Guidelines that guide admission	

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ High selection criteria used. ▪ Availability of more qualified candidates than institutions can accommodate for some programmes. ▪ Lack of candidates in some programmes 	Consequence(s): <ul style="list-style-type: none"> ▪ Low enrollment in some programmes

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	6 (MODERATE)				
Key risk mitigation/controls currently in place:						
<ul style="list-style-type: none"> ▪ Adherence to available TCU and Institutional guidelines ▪ Review the admission criteria and propose to TCU ▪ Availability of staff code of conduct 						

Risk title: Occupational Injury	Risk ID: 13-23
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Risk Description:	
Risk Explanation	Injury during fulfilling university activities in clinics, laboratories and field work
Principal risk owner	DVC PFA
Supporting owner(s)	Deans, Directors and Estate Officer
Risk category	Operational risk
Existing Control/plan	<ul style="list-style-type: none"> ▪ Availability of Laboratory management SOPs ▪ Availability of Laboratory safety manual ▪ Availability Infection Prevention and control (IPC) Policy ▪ Regular inspection by Occupational Safety and Health Authority (OSHA) ▪ Availability of posters

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Staff or Students acquiring infections or injury in the course of training or providing services to patients. ▪ Environmental toxicity (Inadequate sewage system for chemical wastage). ▪ Occupational toxicity (Inhalation of toxic vapour due to no implementation of safety cabinet). ▪ Safety hazards as result of ongoing constructions and equipment maintenance ▪ Development of allergic reaction of some chemicals. ▪ Traffic accidents during fieldwork 	Consequence(s): <ul style="list-style-type: none"> ▪ Cause Injury/Death ▪ Cause Pollution ▪ Fine and Penalties ▪ Going concern will be affected.

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	5 (MODERATE)				

Key risk mitigation/controls currently in place:
<ul style="list-style-type: none"> ▪ Adhere OSHA ▪ Sensitize IPC measures and safety procedures. ▪ Setting adequate budget for Safety and security matters ▪ Availability of protective gears ▪ Availability of posters on danger signs ▪ Availability of lift for disabled students

Risk title: Fire in the University premises		Risk ID: 14-23
Risk Description:		
Risk Explanation	Eruption of fire in the University' Premises	
Principal risk owner	DVC PFA	
Supporting owner(s)	Dean of Students and Estate Officer	
Risk Category	Operation	
Existing Control/plan	Availability of fire extinguishers, OSHA policy and University guidelines and policies	

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Unserviceable of fire bridged equipment ▪ Poor training on fire bridged exercise 	Consequence(s): <ul style="list-style-type: none"> ▪ Loss of Assets ▪ Injury/ Death ▪ Loss of data

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	8 (MODERATE)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Availability of Student accommodation policy that restrict use of heaters and cookers in the hostel ▪ Awareness on proper use of electrical devices ▪ Sensitization to Staff and Student on fire brigade risk mitigation/controls currently in place and their strengths/weaknesses ▪ Availability of fire extinguishers ▪ Insurance scheme of the university buildings 						

Risk title: Sexual harassment to students and staff	Risk ID: 15-23
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Risk Description:	
Risk Explanation	Sexual Harassment to both students and Staff
Principal risk owner	DVC PFA
Supporting owner(s)	Dean of Students, Deans and Directors
Risk Category	Operation
Existing Control/plan	Availability of Gender harassment and Discrimination policy, staff code of conduct and student By-Law

Risk Causes and Consequences	
Causes:	Consequence(s):
<ul style="list-style-type: none"> ▪ Emerging of bad behavior ▪ Intercultural effect 	<ul style="list-style-type: none"> ▪ Loss of the University reputation/Image ▪ Lower students' performance ▪ Cause Depression

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	6 (MODERATE)				

Key risk mitigation/controls currently in place	
<ul style="list-style-type: none"> ▪ Availability of Counseling programme. ▪ Availability of Gender harassment and Discrimination policy, staff code of conduct and student By-Law ▪ Availability of Gender Desks ▪ Educate students and Staff on sexual harassment behavior. ▪ Improve the reporting system. ▪ Take action on reported cases. 	

Risk title: Mental health problems for staff and students	Risk ID: 16-23
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Risk Description:	
Risk Explanation	Increase in Mental Health problems to Students and Staff
Principal risk owner	DVC PFA
Supporting owner(s)	Dean of Students, Deans, Directors and HRO
Risk Category	Operation
Existing Control/plan	Availability of counselling guidelines and Chaplaincy

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Depression ▪ Workplace bullying (offensive language) ▪ Unsettle of harassment cases reported. ▪ Financial problems 	Consequence(s): <ul style="list-style-type: none"> ▪ Poor performance ▪ Drop out of students.

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	3 (LOW)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Availability counselling services ▪ Establishment of Psychology Unit ▪ Appointing discrimination and bullying advisor 						

Risk title: Safety off-campus residence	Risk ID: 17-23
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Risk Description:	
Risk Explanation	Increase of unsafety off campus residence
Principal risk owner	DVC PFA
Supporting owner(s)	Dean of Students and Estate
Type of risk	Operation
Existing Control/plan	Availability of Student accommodation guidelines and Housing Policy

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Budget constraints to construct hostel. ▪ Increase demand vs the available capacity. 	Consequence(s): <ul style="list-style-type: none"> ▪ Poor housing facilities ▪ Insecurity ▪ Theft

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	9 (MODERATE)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Building of the Hostel and staff Houses ▪ Sustained mapping of off-campus hostels and create database in Dean of Students office. ▪ Implementation of Housing policy 						

Risk title: Drug abuse for students and staff	Risk ID: 18-23
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Risk Description:	
Risk Explanation	Increased Drug abuse for students and staff
Principal risk owner	DVC PFA
Supporting owner(s)	Dean of Students, Deans, Directors and Chaplaincy
Risk Category	Operation
Existing Control/plan	Availability of staff Code of conduct, student by laws and national regulations regarding drugs abuse

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Adaptation of western culture ▪ Diversity of students 	Consequence(s): <ul style="list-style-type: none"> ▪ Poor performance ▪ Depression ▪ Loss of the University reputation

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	4 (LOW)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Regular sensitization Staff Code of conduct, students by laws and national regulations ▪ Availability of disciplinary committees ▪ Regular engaging of the students in sports 						

Risk title: Violence at workplace	Risk ID: 19-23
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Risk Description:	
Risk Explanation	Violence at workplace
Principal risk owner	DVC PFA
Supporting owner(s)	Dean of Students, Deans, Directors and Chaplaincy
Risk category	Operation
Existing Control/plan	Availability of staff Code of conduct, student by laws and national regulations regarding drugs abuse

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Staff and students' conflicts ▪ Prolonged cases ▪ Mental illness 	Consequence(s): <ul style="list-style-type: none"> ▪ Poor performance ▪ Depression ▪ Loss of the University reputation

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	4 (LOW)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Regular sensitization Staff Code of conduct, students by laws and national regulations ▪ Availability of disciplinary committees 						

Risk title: Attraction and retention of qualified Academic staff	Risk ID: 20-23
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Risk Description:	
Risk Explanation	Failure to attract and retain qualified Academic staff
Principal risk owner	DVC PFA
Supporting owner(s)	HR
Risk Category	Operation
Existing Control/plan	Availability of Training and development policy and, attractive Scheme of services as compared to other private Universities.

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Competition from other Universities ▪ Requirements by Regulators ▪ Non-competitive package, Limited fund. 	Consequence(s): <ul style="list-style-type: none"> ▪ Labor turnover ▪ Inadequate number of staff

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	12 (HIGH)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Adhere to training and development policy. ▪ Improve Environment to perform academic activities. ▪ Improved promotion schemes for academic staff ▪ Regular review staff remuneration ▪ Retention of the best students as faculty 						

Risk title: Attraction and retention of qualified Technical and Supporting staff in the academic departments and other departments	Risk ID: 21-23
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Risk Description:	
Risk Explanation	Insufficient attraction of qualified Technical and supporting staff
Principal risk owner	DVC PFA
Supporting owner(s)	HR
Risk Category	Operation
Existing Control/plan	Availability of Volunteer policy and Training and development policy

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Limited Funds ▪ Non-competitive package 	Consequence(s): <ul style="list-style-type: none"> ▪ Labor turnover ▪ Inadequate staff

Risk matrix						
Risk	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	4 (LOW)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Use of TA and tutors as technical staff ▪ Use of Volunteers ▪ Availability of funds for short term trainings, workshop and seminars ▪ Availability of recruitment plan 						

Risk title: Unethical and unprofessional conduct of staff	Risk ID: 22-23
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Risk Description:	
Risk Explanation	Unethical and unprofessional conduct of staff
Principal risk owner	DVC PFA
Supporting owner(s)	HR
Risk Category	Operation
Existing Control/plan	Availability of Staff Code of conduct

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Moral issues 	Consequence(s): <ul style="list-style-type: none"> ▪ Poor performance ▪ Impair University reputation

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	4 (LOW)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Availability of close supervision of staff ▪ Biometry system in place ▪ Regularly sensitization of code of conduct ▪ Annual appraisal system 						

Risk title: Low Performance of staff	Risk ID: 23-23
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Risk Description:	
Risk Explanation	Low Performance of Staff
Principal risk owner	DVC PFA
Supporting owner(s)	HR and HoDs
	Operation
Existing Control/plan	Appraisal system

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Insufficient capacity building ▪ Low number of trainings to staff ▪ Change of systems 	Consequence(s): <ul style="list-style-type: none"> ▪ Lower efficient ▪ Lower performance ▪ Delay work completion

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	6 (MODERATE)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Close supervision of staff ▪ Regular assessment and capacity building activities ▪ Regular Appraisal systems with clear constructive feedback 						

Risk Title: Loss of Human Resources data	Risk ID: 24-23
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Risk Description:	
Risk Explanation	Loss of Human Resources data
Principal Risk Owner	DVC PFA
Supporting Owner(s)	HR and HoDs
Risk Category	Operation
Existing Control/Plan	Availability of HR policies and Manual

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Unreliability of HR System ▪ Insufficient data storage system ▪ No available HR Data backup 	Consequence(s): <ul style="list-style-type: none"> ▪ Loss of data

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	3 (LOW)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Regular updated of spread sheet ▪ Regular updated staff files ▪ Clear documentation related to staff related management meetings 						

Risk Title: Sued by employees	Risk ID: 25-23
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Risk Description:	
Risk Explanation	Sued by employees
Principal risk owner	DVC PFA
Supporting owner(s)	HR and HoDs
Risk Category	Management risk
Existing Control/plan	Availability of HR policies and Manual, availability of labor laws, availability of staff code of conduct, availability of the office of the corporate counsel

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Unfair treatment of employees ▪ Loss of attention to the staff ▪ Favouritism to employees ▪ Failure to adhere with professional boards requirement 	Consequence(s): <ul style="list-style-type: none"> ▪ Legal costs due to penalties ▪ Loss of the University reputation

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	4 (LOW)				

Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Availability of University systems to supervise staff ▪ Availability of appraisal system ▪ Availability of HR manual and Scheme of services ▪ Availability of staff code of conducts ▪ Availability of University organs for the decision making 						

Risk title: Decrease in University funds to meet operational costs	Risk ID: 26-23
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Risk Description:	
Risk Explanation	Decrease in University funds to meet operational costs
Principal risk owner	DVC PFA
Supporting owner(s)	Director PDBI and Bursar
Risk Category	Operation
Existing Control/plan	Availability of policies such as: Investment policy and Accounting manual

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Over dependency of tuition fees ▪ Increase amount of uncollected debts ▪ Limited number of students 	Consequence(s): <ul style="list-style-type: none"> ▪ Failure to meet operational costs ▪ Limited Investments ▪ Affect the quality of the work

Risk Matrix						
risk	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	12 (HIGH)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Diversification of funds sources beyond tuition fees ▪ Maintain strategies to collect fees reaching 95% -100% collection. ▪ Create more attractive programmes. ▪ Maintain strategies to sustain attractive programmes as per TCU requirements. ▪ Initiate attractive short courses. ▪ Cost reduction strategies ▪ Revision of the Current Tuition fee structures to reflect actual costs 						

Risk title: Decrease in Research funding	Risk ID: 27-23
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Risk Description:	
Risk Explanation	Decrease of Research fund
Principal risk owner	DVC ARC, PFA
Supporting owner(s)	Director of Research, Deans, Directors and HoDs
Risk Category	Financial
Existing Control/plan	Research Policy that encourages diversification of sources

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Insufficient Grants application ▪ Limited number of staff to write competitive grants. ▪ Limited research fund from internal budget ▪ Limited Grants call due to global economic situation 	Consequence(s): <ul style="list-style-type: none"> ▪ Decrease Research fund. ▪ Decrease in publication outputs

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	9 (MODERATE)				
Key risk mitigation/controls currently in place						
<ul style="list-style-type: none"> ▪ Strengthening of Directorate research to receive and disseminate Proposal calls. ▪ Regular Grant writing workshops ▪ Increase linkages as detailed in CUHAS strategic plan 						

Risk title: Decrease of revenue due to internal financial systems	Risk ID: 28-23
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Risk Description:	
Risk Explanation	Decrease of Revenue due to internal financial system
Principal risk owner	DVC PFA
Supporting owner(s)	Bursar
Risk Category	Financial
Existing Control/plan	Availability of Financial Regulations, Investment policy, ICT Policy, PASTEL and OSIM

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Insufficient or inadequate financial management information system that link with OSIM. ▪ Loss of data due to system errors ▪ Lack of audit software 	Consequence(s): <ul style="list-style-type: none"> ▪ Loss of Revenue ▪ Budget constraints

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	4 (LOW)				

Key risk mitigation/controls currently in place	
<ul style="list-style-type: none"> ▪ Regular Revenue reconciliation using real students' data from School. ▪ Availability of Backup system as per ICT policy ▪ Improve Audit Function ▪ Plan to purchase counteract software ▪ Regular training of staff in the department of Finance 	

Risk title: Non-compliance with financial management, laws, regulation and guidelines		Risk ID: 29-23
Risk Description		
Risk Explanation	Poor compliance with financial management, laws, regulation and guidelines	
Principal risk owner	DVC PFA	
Supporting owner(s)	Deans, Directors, HoDs and Bursar	
Risk Category	Financial	
Existing control/plan	Availability of Financial Regulations and manual and Internal Audit Unit	

Risk Causes and Consequences						
Causes:			Consequence(s):			
<ul style="list-style-type: none"> ▪ Inadequate financial management skills among vote holders. ▪ Reluctant of vote holders to adhere to financial management systems, laws, regulation, and guideline 			<ul style="list-style-type: none"> • Misuse of fund. • Failure to meet some of the planned objectives. 			
Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (.....)	9 (MODERATE)				
Key risk mitigation/controls currently in place:						
<ul style="list-style-type: none"> ▪ Routine auditing by Internal Audit unit ▪ Yearly auditing by the qualified External Auditor ▪ Multistage expenditure approval systems ▪ Continuous training of vote holders ▪ Strick on internal controls points 						

Risk title: Lack of Audit Software	Risk ID: 30-23
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Risk Description	
Risk Explanation	Inadequate internal auditing due to lack of audit software
Principal risk owner	IA
Supporting owner(s)	ICT Director
Risk Category	Technical/Operational
Existing control/plan	Availability of the approved Annual internal audit plan

Risk Causes and Consequences	
Causes:	Consequence(s):
<ul style="list-style-type: none"> Lack of enough budget for procuring software. 	<ul style="list-style-type: none"> Difficult to detect error or default in systems

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	(.....)	6 (MODERATE)				

Key risk mitigation/controls currently <u>in place</u>:
<ul style="list-style-type: none"> Annual internal audit plan Detailed review of audit plan by the Audit Committee Use audit tray on accounting software package which shows some audit results Risk registry

Risk title: Increase in non-compliance to internal controls procurement procedures	Risk ID: 31-23
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Risk Description:	
Risk Explanation	Increase in non-compliance to internal controls procurement procedures
Principal risk owner	DVC PFA
Supporting owner(s)	HoDs
Risk Category	Operation
Existing Control/plan	Availability of Procurement Manual, Regulations, Procedures, Laws, and approved annual procurement plan

Risk Causes and Consequences	
Causes: Non-Adherence of Procurement procedures	Consequence(s): Miss use of Resources

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	6 (MODERATE)				

Key risk mitigation/controls currently in place:						
<ul style="list-style-type: none"> ▪ Approved annual procurement plan. ▪ Use of tendering process in the procurement ▪ Availability of Tendering committee ▪ Internal Audit unit in Place ▪ Adherence to Procurement policy and Procurement Manual. ▪ Multistage approval of procurement 						

Risk title: Uncertainty in the building materials costs, contractors' performance and regulations		Risk ID: 32-23
Risk Description:		
Risk Explanation	High costs of building materials and poor performance of contractors	
Principal risk owner	DVC PFA	
Supporting owner(s)	Estate Officer, Chair Tender Committee, Director PDBI and HoD PMU	
Risk Category	Operation	
Existing Control/plan	Availability of Procurement Policy/manual	

Risk Causes and Consequences	
Causes: Non-adherence of Procurement policy	Consequence(s): Loss of Resources and time

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	9 (MODERATE)				

Key risk mitigation/controls currently in place:	
<ul style="list-style-type: none"> • Availability of Tender committee and inspection team • Tender evaluation committee that involved experts • Availability of procedures and regulations regarding in procurement • Availability of Estate Unit headed by qualified Engineer • Review the policy to allow procurement of the building materials to be done by the responsible unit in collaboration with procurement unit 	

Risk title: Land property encroachment		Risk ID: 33-23
Risk Description:		
Risk Explanation	Land property encroachment	
Principal risk owner	DVC PFA	
Supporting owner(s)	Estate Officer	
Risk Category	Operation	
Existing Control/plan	Demarcated boundaries	

Risk Causes and Consequences	
Causes:	Consequence(s):
<ul style="list-style-type: none"> ▪ Nonexistence of fence 	<ul style="list-style-type: none"> ▪ Loss of land ▪ Conflicts with neighbors

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	8 (MODERATE)				
Key risk mitigation/controls currently in place:						
<ul style="list-style-type: none"> ▪ Budget in place to fence the areas in phases. ▪ Development plan ▪ Recruitment of fulltime watchmen ▪ Regular resurvey of Boundaries 						

Risk title: Land degradation, flooding, pollution (Natural disasters)		Risk ID: 34-23
Risk Description:		
Risk Explanation	Land degradation, flooding, pollution (Natural disasters)	
Principal risk owner	DVC PFA	
Supporting owner(s)	Estate Officer	
Risk Category	Operation	
Existing Control/plan	Availability of Master Plan	

Risk Causes and Consequences	
Causes: Natural Disasters and man-made activities	Consequence(s): Loss of Property

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (..)	4 (LOW)				
Key risk mitigation/controls currently in place:						
<ul style="list-style-type: none"> ▪ Annual planting of trees ▪ Availability of watchmen to ensure no farming, grazing, littering, quarry activities etc. ▪ Periodic environmental cleaning 						

Risk title: Unavailability of ICT Services						Risk ID: 35-23
Risk Description						
Risk Explanation	Loss of data due to unavailability of ICT services (Internet Access, e-learning system, OSIM etc.)					
Principal risk owner	Director ICT					
Supporting owner(s)	Deans, Directors and HoDs					
Risk Category	Operational/Management risk					
Existing Control/plan	Availability of ICT Policy					
Risk Causes and Consequences						
Causes:			Consequence(s):			
<ul style="list-style-type: none"> ▪ Software piracy ▪ System failure ▪ Network failure ▪ Cyber-attacks (hacking, Viruses etc.) ▪ Natural Disasters ▪ Vandalism and misuse ▪ Inadequate funding ▪ Inadequate qualified personnel ▪ Power failure 			<ul style="list-style-type: none"> ▪ Stranded service users (Customers and Staff) ▪ Destructed academic delivery. ▪ Destructed online communication. ▪ Increased cost to staff. ▪ Inaccessibility of electronic reading resources ▪ Permanent loss of data 			
Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (...)	12 (HIGH)				
Key risk mitigation/controls currently in place:						
<ul style="list-style-type: none"> • Power Backup • Digital Security Certificate to secure online services but it is not implemented in all systems. • Offsite Backup servers • Antivirus software • ICT Policy in place • Ongoing Recruitment, training and capacity building • Regular back up of the systems • Use of the licensed software • Introduce Enterprise Resource Planning (ERP) system 						

Risk title: Outdated ICT systems		Risk ID: 36-23
Risk Description		
Risk Explanation	Limited funds to attract highly qualified ICT staff and for improving ICT systems	
Principal risk owner	DVC PFA	
Supporting owner(s)	DICT	
Risk Category	Strategic & Operational	
Existing Control/plan	ICT Policy	

Risk Causes and Consequences	
Causes: <ul style="list-style-type: none"> ▪ Insufficient fund for ICT resources. ▪ Advance in technology 	Consequence(s): <ul style="list-style-type: none"> ▪ Stranded customers ▪ Distracted academic delivery. ▪ Distracted online communication. ▪ Inaccessibility of E- resources

Risk Matrix						
	Impact (I):	VERY HIGH (5)	HIGH (4)	MODERATE (3)	LOW (2)	VERY LOW (1)
	Likelihood (L):	ALMOST CERTAIN (5)	LIKELY (4)	POSSIBLE (3)	UNLIKELY (2)	RARE (1)
Risk rating	I x L (....)	9 (MODERATE)				

Key risk mitigation/controls currently in place:	
<ul style="list-style-type: none"> • Budget for ICT is in place to ensure functional core business. • ICT Policy in place • Recruitment and training of ICT staff • Outsourcing of ICT services 	

6.0 RISKS LOG/REGISTER AND STATUS

ID	RISK TITLE	RISK RATING (2022/2023)				REMARKS
		Q1	Q2	Q3	Q 4	
Risk ID: 01-23	Decrease Quality of Teaching	12 (HIGH)				
Risk ID: 02-23	Inadequate Teaching Facilities and offices	12 (HIGH)				
Risk ID: 03-23	Closing of Diploma programmes (DPS, DDR, DMLS)	15 (HIGH)				
Risk ID: 04-23	Inadequate students' assessments	6 (MODERATE)				
Risk ID: 05-23	Increase in the Examination Irregularities	6 (MODERATE)				
Risk ID: 06-23	Awarding degree with incomplete courses	4 (LOW)				
Risk ID: 07-23	Misconduct behavior or harmful practice during fieldwork	9 (MODERATE)				
Risk ID: 08-23	Drop of University ranking	9 (MODERATE)				
Risk ID: 09-23	Risk title: Employability of CUHAS Graduates	9 (MODERATE)				
Risk ID: 10-23	Decrease in revenue from internal sources, short courses and consultancies	12 (HIGH)				
Risk ID: 11-23	Loss or alteration of students records in OSIM & ELMS	8 (MODERATE)				
Risk ID: 12-23	Inadequate of admission procedures	6 (MODERATE)				
Risk ID: 13-23	Occupational Injury	5 (MODERATE)				
Risk ID: 14-23	Fire in the University premises	8 (MODERATE)				
Risk ID: 15-23	Sexual harassment to students and staff	6 (MODERATE)				
Risk ID: 16-23	Mental health problems for staff and students	3 (LOW)				
Risk ID: 17-23	Safety off-campus residence	9 (MODERATE)				
Risk ID: 18-23	Drug abuse for students and staff	4 (LOW)				
Risk ID: 19-23	Violence at workplace	4 (LOW)				
Risk ID: 20-23	Attraction and retention of qualified Academic staff	12 (HIGH)				
Risk ID: 21-23	Attraction and retention of qualified Technical and Supporting staff in the academic departments and other departments	4 (LOW)				
Risk ID: 22-23	Unethical and unprofessional conduct of staff	4 (LOW)				
Risk ID: 23-23	Low Performance of staff	6 (MODERATE)				
Risk ID: 24-23	Loss of Human resource data	3 (LOW)				
Risk ID: 25-23	Sued by employees	4 (LOW)				
Risk ID: 26-23	Decrease in University funds to meet operational costs	12 (HIGH)				
Risk ID: 27-23	Decrease in Research funding	9 (MODERATE)				
Risk ID: 28-23	Decrease of revenue due to internal financial systems	4 (LOW)				
Risk ID: 29-23	Non-compliance with financial management, laws, regulation and guidelines	9 (MODERATE)				

ID	RISK TITLE	RISK RATING (2022/2023)				REMARKS
		Q1	Q2	Q3	Q 4	
Risk ID: 30-23	Lack of audit software	6 (MODERATE)				
Risk ID: 31-23	Increase in non-compliance to internal controls procurement procedures	6 (MODERATE)				
Risk ID: 32-23	Uncertainty in the building materials costs, contractors' performance and regulations	9 (MODERATE)				
Risk ID: 33-23	Land property encroachment	8 (MODERATE)				
Risk ID: 34-23	Land degradation, flooding, pollution (Natural disasters)	4 (LOW)				
Risk ID: 35-23	Unavailability of ICT Services	12 (HIGH)				
Risk ID: 36-23	Outdated ICT systems	9 (MODERATE)				