



Risk Register 2010

Office of the Vice-Chancellor

- Office of Corporate Affairs

Risk Category: Health Safety and Environment

<i>Id</i>	<i>Negative Risk Event</i>	<i>Consequence</i>	<i>Likelihood Rating</i>	<i>Consequence Rating</i>	<i>Risk Grade</i>	<i>Current mitigating actions (this column is optional)</i>	<i>Are current actions effective/efficient? (Yes/No)</i>	<i>Proposed mitigating actions, timeframe and responsibility</i>	<i>Early Warning and reporting triggers</i>
1a	Poor staff awareness of OH&S hazards and risks	Staff death or injury Lower productivity	Unlikely	Minor	Low	Staff have attended training session on OHS provided by HR OHS Action Plan developed with staff involvement Staff awareness of OHS at induction sessions	Yes	Continue to monitor and update Plan (Admin Officer) Conduct refresher awareness program in 2010 (Admin Officer)	Hazard or incident reports submitted
1b	Failure to report hazard or incident	Risk unidentified Staff injury not addressed	Unlikely	Minor	Low	Staff have attended training session on OH&S provided by HR including hazard and incident reporting Staff have access to reporting forms on web site OH&S Action Plan developed with staff involvement Staff awareness of OH&S at induction sessions	Yes	Continue to monitor and update Plan (Admin Officer) Conduct refresher awareness program in 2010 (Admin Officer)	Hazard or incident reports not submitted

1c	Specific hazard or incident	Staff death or injury Lower productivity	Unlikely	Minor	Low	OHS Action Plan developed with staff involvement	Yes	Risk assessment to be undertaken of specific hazards in Q4 2010 (Admin Officer) Conduct a further review of OHS actions after completion of building refurbishment in 2010 (Admin Officer)	OHS notification that is not addressed by the action plan
1d	Injury to volunteers on campus	Serious injury and incapacitation	Rare	Moderate	Low	University OH&S standards maintained and regularly reviewed	Yes	N/A	
1e	Injury to a staff member travelling on behalf of the company to a fundraising event or meetings	Injury of more than a minor nature	Possible	Major	High	University insurance cover	Yes	N/A	

Risk Category: Values, ethics and institutional reputation

<i>Id</i>	<i>Risk Event</i>	<i>Consequence</i>	<i>Likelihood Rating</i>	<i>Consequence Rating</i>	<i>Risk Grade</i>	<i>Current Mitigating Actions (this column is optional)</i>	<i>Are Current Actions Effective/efficient? (Yes/No)</i>	<i>Proposed mitigating actions, timeframe and responsibility</i>	<i>Early Warning and reporting triggers</i>
2a	Poor university relations	Negative reputation	Unlikely	Moderate	Medium	Effective relations management and corporate communications in place	Yes	New University Advancement Plan fully implemented by Q1 2010 (Manager, University Advancement)	Report
2b	Breach of confidentiality	Confidential internal/third party information disclosed	Unlikely	Moderate	Medium	Confidentiality obligations made aware to staff at induction	Yes	Confidentiality obligations are made aware to staff under the mitigating strategy	Issue reported to Director
2c	Conflict of Interest/Corruption	Loss of income Negative finding by external agency Reputational damage to the University	Unlikely	Moderate	Medium	Encouraging staff through performance management to develop understanding of values and structures Integrating corruption awareness into processes	Yes	Conduct corruption awareness session at staff meeting annually (Director)	Issue notified to Director as protected disclosure or by staff member

Risk Category: Continuity of critical business processes

<i>Id</i>	<i>Negative Risk Event</i>	<i>Consequence</i>	<i>Likelihood Rating</i>	<i>Consequence Rating</i>	<i>Risk Grade</i>	<i>Current mitigating actions (this column is optional)</i>	<i>Are Current Actions Effective/efficient? (Yes/No)</i>	<i>Proposed mitigating actions, timeframe and responsibility</i>	<i>Early Warning and reporting triggers</i>
3a	Destruction or loss of critical data (eg contracts, records etc)	Inability to determine CSU's obligations or liabilities Critical confidential data becomes public	Unlikely	Major	High	Revision of contract (document) management All contracts and agreements scanned by responsible office for electronic storage in TRIM Safe installed for storage of highly sensitive confidential files Confidential document destruction bin installed in Office	Yes	Building refurbishment to include requirements for fire retardant security access file room and security access to critical areas of building (Director) Procedure to be developed for contract management	

3b	Critical failure of University and Office IT systems	May disrupt the timely delivery of a small project or activity. Disruption of institution wide services would not impact significantly on other budget centres.	Possible	Moderate	Medium	University backups of system data	Yes		Notification by DIT
3c	Staff Succession Planning	Expert and corporate knowledge lost Lack of continuity in work Failure to meet compliance responsibility Inability to respond to media issue	Possible	Moderate	Medium	Workforce Plan developed	Yes	Documentation of standard operating procedures to reduce hand over problems Administrative Assistant to be tasked to support both OVC and OCA (as required), to ensure cross-team understanding of administrative functions	Resignation of key staff
3d	Poor development of staff	Inability to retain staff Poor morale, productivity, attention to responsibilities	Possible	Moderate	Medium	Identify development needs in performance planning Promote acting up opportunities to expose staff to new skills Encourage participation in University provided training and development programs (eg women and leadership)	Yes		Performance planning discussions

3d	Staff unavailable due to industrial action, wide scale illness etc	Disruption of normal work practices, Inability to meet operational responsibilities Failure to meet compliance obligation	Possible	Minor	Low	Re-prioritise work responsibilities as needed	Yes		Advice of industrial action Outbreak of major illness
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Risk Category: Financial sustainability

<i>Id</i>	<i>Negative Risk Event</i>	<i>Consequence</i>	<i>Likelihood Rating</i>	<i>Consequence Rating</i>	<i>Risk Grade</i>	<i>Current mitigating actions (this column is optional)</i>	<i>Are Current Actions Effective/efficient? (Yes/No)</i>	<i>Proposed mitigating actions, timeframe and responsibility</i>	<i>Early Warning and reporting triggers</i>
4a	Inadequate controls on the management of donations	<p>CSU contribution not applied to legitimate activities</p> <p>Negative publicity about poor management of University funds</p> <p>Negative audit on compliance with granting guidelines</p> <p>Inability to report on grants in annual report in accordance with legislative duty</p> <p>Loss of marketing opportunity through poor recognition of CSU by recipients</p> <p>Expectation of funding by 3rd parties</p>	Unlikely	Moderate	Medium	Donations Policy Finance policies	Yes		Monitoring by Finance and Investment Committee

4b	Poor financial management	Unable to meet strategic priorities and operational responsibilities Poor reputation of office within University	Unlikely	Moderate	Medium	Cost Centre budgets reviewed by managers monthly New delegations and authorisations introduced to ensure financial sustainability	Yes	Monitor closely	Expenditure exceeds income on percentage basis for relevant period
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Risk Category: Legal Compliance and Statutory Reporting									
<i>Id</i>	<i>Negative Risk Event</i>	<i>Consequence</i>	<i>Likelihood Rating</i>	<i>Consequence Rating</i>	<i>Risk Grade</i>	<i>Current mitigating actions (this column is optional)</i>	<i>Are Current Actions Effective/efficient? (Yes/No)</i>	<i>Proposed mitigating actions, timeframe and responsibility</i>	<i>Early Warning and reporting triggers</i>
5a	s.9; Annual Reports (Statutory Bodies) Act (NSW 1984 – failure to include prescribed content	Damage to Reputation – notice in Auditor General’s Report	Unlikely	Minor	Low	Compliance Checklist produced by NSW Treasury is used by CSU to ensure compliance	Yes		Compliance Checklist Review

5b	s.10, Annual Reports (Statutory Bodies) Act (NSW) 1984 – failure to submit annual report within 4 months after end of financial year	Damage to Reputation - Named in Parliament	Unlikely	Minor	Low	Annual Report timetable defined and followed; work closely with the Division of Finance to ensure audited accounts are delivered in a timely manner	Yes		Moving outside timetable
5c	Part 4 – Trade Marks Act (Clth) 1985 – Failure to register CSU Trade Marks	Loss of Rights with respect to CSU logos and other trade marks	Rare	Minor	Low	Trade marks registrations monitored by OCA	Yes, with some further clarification	New Trade Marks Procedure is being finalised after consultation with Marketing to establish clear accountabilities for trade marks within University and to centralise registration processes. All current trade marks registered to OCA during 2009	Notification by IP Australia of registration renewal or challenge
5d	Part 12 – Trade Marks Act (Clth) 1985 - Infringement of Third Party Trade Mark	Compensatory Damages – Damage to Reputation	Possible	Moderate	Medium	CSU policies specify responsibility for obtaining written consent for use of third party logos and trade marks (eg Web Policy)	Yes, with further clarification	New Brand Governance Policy will clarify accountabilities for obtaining approval for use of third party logos and trade marks across all publications forms including requirement to obtain approval for publications to ensure compliance	Publication approval processes

5e	Part 3 – Trade Marks Act (Malaysia) 1976 – Failure to register trade mark	Loss of Rights with respect to CSU logos and other trade marks	Rare	Minor	Low	There are no current procedures for dealing with trade marks outside Australia; however, this is not presently viewed as a high risk. CSU can rely on common law tort of ‘passing off’ in lieu of trade marks, but this is not as strong	Yes, with some further clarification	New Trade Marks Procedure is being finalised after consultation with Marketing to establish clear accountabilities for trade marks within University and processes for managing CSU trade marks in overseas jurisdictions based on need	Notification of registration renewal or challenge
5f	Part 13 – Trade Marks Act (Malaysia) 1976 - Infringement of Third Party Trade Mark	Compensatory Damages – Damage to Reputation	Possible	Moderate	Medium	Some CSU policies specify responsibility for obtaining written consent for use of third party logos and trade marks (eg Web Policy)	Yes, with further clarification	New Brand Governance Policy will clarify accountabilities for obtaining approval for use of third party logos and trade marks across all publications forms including requirement to obtain approval for publications to ensure compliance	Publication approval processes

5g	Trade Marks Act (Canada) 1985 – Failure to register trade marks	Loss of Rights with respect to CSU logos and other trade marks	Rare	Minor	Low	There are no current procedures for dealing with trade marks outside Australia; however, this is not presently viewed as a high risk. CSU can rely on common law tort of ‘passing off’ in lieu of trade marks, but this is not as strong	Yes, with some further clarification.	New Trade Marks Procedure is being finalised after consultation with Marketing to establish clear accountabilities for trade marks within University and processes for managing CSU trade marks in overseas jurisdictions based on need	Notification of registration renewal or challenge
5h	Trade Marks Act (Canada) 1985 - Infringement of Third Party Trade Mark	Compensatory Damages – Damage to Reputation	Possible	Moderate	Medium	Some CSU policies specify responsibility for obtaining written consent for use of third party logos and trade marks (eg Web Policy)	Yes, with further clarification	New Brand Governance Policy will clarify accountabilities for obtaining approval for use of third party logos and trade marks across all publications forms including requirement to obtain approval for publications to ensure compliance	Publication approval processes
5i	Charles Sturt University Act 1989/Charles Sturt University By-laws (NSW) 1995	Damage to Reputation	Rare	Minor	Low	All significant compliance requirements under Act and By-laws are documented in existing policies and procedures	Yes		Notification of breach

5j	Division 1 - Business Names Act (NSW) 2002 – Registration	Loss of Rights in use of business name	Rare	Minor	Low		No	New Brand Governance Policy will include provisions for centralising registration of business names by University and accountabilities for monitoring and renewing registrations and required	Notification by Department of Fair Trading
5k	Defamation Act (NSW) 2005	Compensatory damage – possible criminal charges	Unlikely	Moderate	Medium	Current Code of Conduct and Media Policy explain the obligations of staff in relation to defamatory statements. All corporate materials reviewed prior to publication by persons competent to make judgments about possible implications of the material	Yes	Some further refinement may arise from review of academic freedom. Some structured internal training and awareness program may be appropriate	Identification in review of materials

5l	ss. 5-7 – Business Names Act (ACT) 1963	Loss of Rights in use of business name	Rare	Minor	Low		No	New Brand Governance Policy will include provisions for centralising registration of business names by University and accountabilities for monitoring and renewing registrations and required.	Notification by Department
5m	Division 1 - Business Names Registration Act (Victoria) 2000 – Registration	Loss of Rights in use of business name	Rare	Minor	Low		No	New Brand Governance Policy will include provisions for centralising registration of business names by University and accountabilities for monitoring and renewing registrations and required.	Notification by Department
5n	Income Tax and Assessment Act (Clth) 1997 – Deductible Gift recipient status	Incapacity to obtain charitable donations on a gift deductibility basis	Rare	Moderate	Low	Donations Policy	Yes		Notification by ATO
5o	Income Tax and Assessment Act (Clth) 1997 – Gift Fund Requirements	Removal of charitable status	Rare	Moderate	Low	Donations Policy/Finance Policies	Yes		Notification by ATO

5p	Charitable Fundraising Act (NSW) 1991 – failure to comply with requirements for fundraising appeals	Inability to conduct fundraising appeals	Rare	Moderate	Low	Donations Policy/NSW Department of Gaming and Racing Charitable Fundraising Guide	Yes	Develop new CSU Charitable Fundraising Guideline in 2010/11 to provide step by step guidance to University officers about requirements for raising funds.	Follow Checklist in Guide
5q	Charitable Trusts Act 1993 (NSW) – Failure to properly manage charitable trusts in accordance with Act	Removal of University or Foundation as Trustee – Damage to Reputation – Compensatory damage	Rare	Moderate	Low	Donations Policy Finance Policies	Yes		Audit processes
5r	Part 2 - Unlawful Gambling Act 1998 (NSW) – conducting unlawful games of chance without a license	Compensatory damages – criminal charges – damage to reputation	Rare	Moderate	Low	Donations Policy	Yes, with further clarification	Develop new CSU Charitable Fundraising Guideline in 2010/11 to provide step by step guidance to University officers about requirements for raising funds	Audit processes
5s	Charitable Collections Act (ACT) 2003	Inability to conduct fundraising appeals	Rare	Moderate	Low	Donations Policy	Yes	Develop new CSU Charitable Fundraising Guideline in 2010/11 to provide step by step guidance to University officers about requirements for raising funds	Monitoring of ACT based fundraising appeals