

Generic Risk Assessments

<u>Risk Title</u>	<u>Risk Category</u>	<u>Strategic Plan Goal</u>	<u>Consequences</u>	<u>Contributing Factors</u>	<u>Responsibility</u>	<u>Controls</u>	<u>Impact Rating</u>	<u>Likelihood Rating</u>	<u>Inherent Risk Rating</u>	<u>Control Rating</u>	<u>Residual Risk Rating</u>	<u>Actions</u>
The insert your Faculty or Area may not be able to attract, develop, motivate and retain a critical mass of staff with the required skills to achieve strategic and operational goals.	People Management Risk	People, Culture and Change	OHS Financial Reputation, Outrage and Media University Performance	<p>Failure to provide a harmonious, supportive and inclusive working environment.</p> <p>Staffing profile may not match future directions.</p> <p>Staff communication channels may be ineffective.</p> <p>High and/or unbalanced workloads.</p> <p>Lack of career paths.</p> <p>Staff stress/ poor morale</p> <p>More attractive employment opportunities elsewhere.</p> <p>Few senior staff willing to assume academic leadership positions.</p> <p>Staff do not share the vision and values of the University</p> <p>Failure to access the resources and training needed to deliver high quality teaching and administration.</p> <p>More favourable research support at other universities.</p> <p>Inadequate screening of applicants through selection process.</p> <p>Lack of support from supervisors.</p> <p>Lack of succession planning.</p> <p>Lack of team environment for general staff.</p> <p>New staff may not be properly inducted.</p>		<p>PREVENTATIVE CONTROLS</p> <ul style="list-style-type: none"> Market loading of salaries for recruitment purposes Succession planning PPRs objectives include efficiency and effectiveness Staff Attitude survey Staff management plan Workload formula Informal monitoring of staff satisfaction Academic Promotions Early Career academic mentoring Framework for Leadership Training, Increasing senior leadership in the Faculty, Communication with staff on important developments and plans Staff awards for excellence in advancing strategic priorities Professional development courses for administrative staff Staff are aware of complaints procedures Distribution of bonuses to administrative staff is equitable Professional development for academic staff Rotation of acting and/or co-ordinating positions Online induction program by HRSD <p>DETECTIVE CONTROLS</p> <ul style="list-style-type: none"> PPR process Sick leave/work cover data monitored Staff workloads monitored Staff/Student ratios <p>REACTIVE CONTROLS</p> <ul style="list-style-type: none"> Recruitment of new staff to address areas where there are insufficient staff numbers Recruitment of sessional staff to cover Year 1 undergraduate student numbers 						

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The insert your Faculty or Area may not provide staff, students or third parties with a safe and productive workplace.	People Management Risk	People, Culture and Change	OHS Financial Reputation, Outrage and Media University Performance	<p>Staff stress.</p> <p>Student placements.</p> <p>Travelling between campuses for meetings or lectures.</p> <p>Laboratory environment.</p> <p>Harassment./ Bullying.</p> <p>Failure to respond to identified hazards.</p> <p>Failure to respond to potential OHS issues.</p> <p>Increasing workloads.</p> <p>Increased Student/Staff ratios.</p> <p>Lack of staff awareness of their responsibilities .</p> <p>Poor condition of some teaching spaces.</p> <p>Difficulty in physically moving equipment for teaching from storage to teaching spaces.</p> <p>Expectation of students that staff are available at all times.</p> <p>Shortage of office space.</p> <p>Ageing equipment.</p> <p>Poor contractor management</p> <p>Poor/lack of local induction</p> <p>Inadequate training</p> <p>Lack of Personal Protective Equipment (PPE)</p>		<p>PREVENTATIVE CONTROLS</p> <ul style="list-style-type: none"> • OHS plans • OHS committee structure • Business Continuity Management subcommittee • Trained Fire Wardens • Fire drills • OHS education programs conducted • Workplace inspections • Scheduled Safety checks • Safety education seminars; • Ergonomic education programs • Feedback mechanisms exist for potential problem areas • Security staff immediately available • Trained First aiders • OHS policies and procedures • Equipment maintenance & replacement schedule • Space Audit with FMSD. • Staff training in identification and management of hazards • OHS induction program • Reduction of intercampus travel • Employee Assistance Program • OHS Survey • Laboratory and Biosafety Committee • Radiation Safety Officer • Project Safety plan • Provision of PPE • FOA work instructions • Access to OHS Unit <p>REACTIVE CONTROLS</p> <ul style="list-style-type: none"> • Incident reporting • Regular review of work placement and insurance cover • Harassment advisers on every campus 						

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<p>Inadequate space and/or an inability to optimise the existing physical resources, which may lead to:</p> <ul style="list-style-type: none"> • inability to deliver on core services and outcomes • inability to increase fee income at a rate required by increased costs • inability to attract high calibre Australian and international students and staff • staff and student dissatisfaction • over crowding and limiting growth potential. 	Assets Management Risk	Resources, Finance and Infrastructure	<p>OHS</p> <p>University Performance</p>	<p>Lack of informal meeting space.</p> <p>Increasing space limitations to house new initiatives in teaching and research (especially metro campuses).</p> <p>Inadequate and outdated assets and technology.</p> <p>Lag time between revenue generation and ability to provide enhanced facilities and infrastructure.</p> <p>⬇rowth in student numbers.</p> <p>Staff numbers have increased to meet growth and improve staff/student ratios.</p>		<p>PREVENTATIVE CONTROLS</p> <ul style="list-style-type: none"> • Space management plan • Capital Expenditure bids process • Equipment maintenance & replacement schedule • Capital Management plan • Strategic and Operational Plans monitored • Equipment borrowing loans register (Innopac) • Service Level Agreement between ITSD and FOAs <p>DETECTIVE CONTROLS</p> <ul style="list-style-type: none"> • Audit report on allocated space on the Burwood campus • Annual Capital Expenditure program identifies capital resource deficiencies • Operational Plan targets are set and monitored • Audit of Fixed Asset Register <p>INTERDEPENDENCE</p> <ul style="list-style-type: none"> • Capital expenditure subcommittee of PRC • Master plans developed with FMSD • Strategic Asset Management Plan 						

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The insert your Faculty or Area may not be able to ensure that staff and students have access to reliable high quality IT infrastructure for teaching, research and administration, which may lead to reduced productivity.	Information and Management Systems Risk	Resources, Finance and Infrastructure	Financial Reputation, Outrage and Media, University Performance	<p>Failure of instructional management system (DSO).</p> <p>Breakdown of non-ITSD supported IT systems.</p> <p>Computer and communication standards/ reliability may not meet Faculty needs or agreed standards.</p> <p>Inadequate and outdated Faculty information technology assets.</p> <p>Ineffective IT User Requirements Process (ITURP) decision making process.</p> <p>Failure of IT security mechanisms.</p> <p>IT management delivered by ITSD and within FOA.</p> <p>Lack of network points.</p> <p>Computers and telephones now linked, therefore complete loss of communication.</p> <p>KMD and academic process may not be aligned.</p> <p>Power outage</p> <p>Loss or damage due to fire, explosion, vandalism or accidental damage</p>		<p>PREVENTATIVE CONTROLS</p> <ul style="list-style-type: none"> • Three-year on-site maintenance for all new servers and workstations • Three year turnover of outdated IT assets, such as servers and workstations • Regular review of hardware available through DUWS and DUPS • ITSD strategic plan & budget • Specialist ITSD staff employed in critical areas • Regular testing of critical systems • DSO Risk Mitigation Plan • Documented Disaster Recovery Plans and Procedures • Disaster Recovery Plan tests conducted regularly • Training program educates staff on best practice in data management and protection • Hardware meets needs of staff and can access all central University IT systems, • ITSD Information suite for students • FOA ITURP bids process • Provision of backup systems for critical FOA information, <p>DETECTIVE CONTROLS</p> <ul style="list-style-type: none"> • ITSD Service Standards monitored and reported annually 						

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<p>The insert your Faculty or Area may not reach its annual research targets for:</p> <ul style="list-style-type: none"> • publications; • grant applications; • income <p>This may lead to Deakin University failing to be recognised as a research University and/or an inability to attract and retain high quality academic staff/HDR students.</p>	Academic Process Risk	Research and Research Training	<p>Financial Reputation, Outrage and Media, University Performance</p>	<p>Breach of security at the MRU - destruction or sabotage of equipment leading to loss of ability to perform research.</p> <p>There may be insufficient incentives created to encourage staff to generate research funding.</p> <p>Poor performance in Excellence in Research (ERA) exercise.</p> <p>Insufficient nationally and internationally competitive researchers.</p> <p>Level of competition between Deakin and other institutions.</p> <p>Insufficient 'people capital' and resources to generate high quality research outcomes.</p> <p>Excessive staff teaching loads.</p> <p>Grant applications not completed correctly.</p> <p>"Research Culture" not embedded within Faculty.</p>		<p>PREVENTATIVE CONTROLS</p> <ul style="list-style-type: none"> • Monitor applications for research funding • Individual research plans and evidence of esteem portfolios • PPR Process and Staff Development Programs to Assist Research Productivity (OSP, Conference Leave) • Recruitment of Senior Researchers • HOS/Dir Research and DVC(R) monitor progress of research performance targets • Monitor workloads of staff • Leverage industry links to provide research funding. • High level of support for Grant Applications • Support for current research dedicated positions • Faculty Research groupings and Research teams • Foster the development of collaborative research • Research Services Division provide grant support services • Research Institutes • Research Plan <p>DETECTIVE CONTROLS</p> <ul style="list-style-type: none"> • Annual planning, evaluation and reporting cycle. • Review of numbers of grants applied for, both externally and internally • Review quality and number of publications submitted. <p>REACTIVE CONTROLS</p> <ul style="list-style-type: none"> • Financial assistance offered to academics via research grants and research groups 						

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Failure to meet appropriate academic standards, or exposing a breach of ethical conduct, will affect Deakin's reputation and finances.	Academic Process Risk	Research and Research Training	Financial Reputation, Outrage and Media, University Performance	<p>Research involving humans may breach human ethical issues.</p> <p>Research involving animals may breach regulations</p> <p>Staff fail to follow appropriate academic procedures.</p> <p>Fraudulent research results.</p> <p>Failure to comply with Academic quality assurance policies and procedures.</p> <p>Lack of consistency between on shore and off shore course delivery & assessment.</p> <p>Inappropriate admission and selection standards.</p> <p>Inappropriate staff/student ratios.</p> <p>Staff fail to follow Uni Policies and Procedures.</p> <p>Lack of knowledge of documented policies and processes.</p> <p>Breach of Privacy legislation.</p> <p>Failure to consider EEO matters.</p> <p>Inappropriate behaviour.</p>		<p>PREVENTATIVE CONTROLS</p> <ul style="list-style-type: none"> • Anti plagiarism statement signed by students for each assignment • Code of ethics for student behaviour • Course planning designed to minimise repetition of assignment material across years • Student manual and unit guides explain plagiarism • All projects have a senior staff member as the principal investigator • Staff regularly work with animal welfare officers • All teaching or research involving animals must have AWC approval prior to commencing • All research requiring human participation must have ETHICS approval • Research must comply with the National Statement on Ethical Conduct of Research Involving Humans • Performance evaluation system • Student charter • Code of Conduct for staff • Faculty admissions and selection standards, • Faculty statement on assessment practices • Monitor quality & comparability of teaching & assessment standards in all course offerings • Adhere to the guidelines of the Teaching and Learning Functional Area Plan • Staff and HDR students are aware of ethics protocols and processes • Code of good practice in research 						

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Failure to meet enrolment load targets and to maintain acceptable demand level for courses (<i>measured by ENTER score</i>), will affect Deakin's revenue target.	Financial Management Risk	Teaching and Learning	Financial University Performance	<p>Financial support for HDR students may reduce.</p> <p>Courses may not be aligned to the future needs of students.</p> <p>Insufficient resources to develop and maintain attractive courses of relevance to international students and domestic students.</p> <p>Limited market development.</p> <p>Inhibitions on development of indigenous curriculum for Study Abroad Students.</p> <p>Changed Government focus and policy.</p> <p>Courses experience declining demand.</p> <p>Course prices may impact negatively on student demand.</p> <p>Course offerings are not considered professionally relevant.</p> <p>Graduates lack pedagogic attributes required by employers.</p> <p>Poor academic quality assurance measures.</p> <p>Poor economic climate.</p> <p>Reduced enrolments of domestic students which affects the HDR program.</p> <p>Deakin brand recognition in the market place</p>		<p>PREVENTATIVE CONTROLS</p> <ul style="list-style-type: none"> Academic Advisory Boards Faculty Advisory Board Internationalisation of the curriculum Ongoing review by Program and Centre Directors and Faculty Executive of partnership opportunities Regular review & re-accreditation cycle Timely accreditation and re-accreditation Compliance with Academic Board policies Course Review Working Party Course experience questionnaire Marketing Plans Results of Graduate Outcomes survey & CEQ incorporated into review of course content & structure Regular liaison with professional bodies to seek feedback on graduates Strong links with external professional accreditation bodies Monitor success of marketing HDR to international students HDR students recruitment program Scholarships program Course planning and review framework respond to market expectations Evaluation of teaching in units Staff Professional Accreditations maintained Develop and maintain strong links between Professors and industry Experiential learning programs Monitor Commonwealth load <p>DETECTIVE CONTROLS</p> <ul style="list-style-type: none"> Annual planning, evaluation and reporting cycle. Monthly Financial reporting Operational Plan targets are set and monitored Regular reporting on student load. Review of low performing courses and units Graduate destinations survey 						

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The insert your Faculty or Area's ability to meet its revenue targets by% or more may be affected by external factors.	Financial Management Risk	Resources, Finance and Infrastructure	Financial Reputation, Outrage and Media University Performance	<p>Changes to Commonwealth Government policy.</p> <p>International events such as terrorism or currency fluctuations.</p> <p>Greater competition for students through the establishment in Asia, of 'education hubs'.</p> <p>Rising value of the Australian dollar.</p> <p>Weakening of the \$US potentially will make studying in the United States of America cheaper and more attractive.</p>		<p>PREVENTATIVE CONTROLS</p> <ul style="list-style-type: none"> Budget expenditure restricted to 90% until income confirmed Marketing plan constantly reviewed by Faculty Exec. DI, PRC Regular reviews of financial position & forecasts Review & revise marketing and recruitment strategy to attract domestic & international students Review courses and respond to demand for new courses Monthly financial reporting <p>REACTIVE CONTROLS</p> <ul style="list-style-type: none"> Expenditure curtailed if revenue targets not met Work with Deakin International to expand o/seas int. recruitment & to identify new markets & new course offerings 						

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<p>The insert your Faculty or Area fails to extend and consolidate its strategic alliances, entrepreneurial relationships and partnerships with business, government, the profession, the community and other education providers.</p> <p>This may lead to:</p> <ul style="list-style-type: none"> • reduced relevance of courses • reduced income; and • a reduction in the University's profile or reputation. 	Information and Management System Risk	Communication, Marketing and Positioning	<p>Financial Reputation, Outrage and media University Performance</p>	<p>Partners don't have a clear understanding of our vision/direction.</p> <p>Partners do not understand or follow our procedures.</p> <p>Stakeholders do not fully understand each other's vision/directions resulting in misunderstandings and/or miscommunication, resulting in misaligned goals.</p> <p>Previous lack of clearly defined processes and authority levels continues to cause problems with long-term partnerships.</p> <p>Inadequate due diligence processes.</p>		<p>PREVENTATIVE CONTROLS</p> <ul style="list-style-type: none"> • Academic Advisory Boards • Annual Planning, evaluation and reporting cycle • Faculty Advisory Board • PPR process • Recruitment of appropriately qualified staff • Associate Dean (International) ensures regular review of each partnership • Internationalisation of the curriculum • Accreditation reviewed and streamlined • CDU program risk management plan. • Maintain and strengthen industry links in strategic areas • Policies and procedures in place • Consistency between on and off-shore unit delivery & assessment • University policy and procedures relating to off-shore teaching partners <p>DETECTIVE CONTROLS</p> <ul style="list-style-type: none"> • Ongoing review by Program and Centre Directors and Faculty Executive of partnership opportunities • Regular audit visits by academic staff regarding admission, teaching, assessments & moderation. • Review of numbers of grants applied for, both externally and internally and success rate • Prospective partners undergo probity checks prior to contract negotiation • Internal Audit Unit assesses applicable control(s) for reasonableness. <p>INTERDEPENDENT CONTROLS</p> <ul style="list-style-type: none"> • Annual report on TAFE partnerships. • Partnerships Office database. • Review conducted six months prior to expiration of agreement. • Academic Partnerships Co-ordination Group • Agreements above \$300k endorsed by Contracts Assessment Committee • All Agreements to be reviewed and signed off by the Uni Sol • Approval of TAFE partnership/agreement made by VC. • Comprehensive Internet site for prospective TAFE students. • Formal & structured communication mechanisms with partner • TAFE Alliances and Agreements policy and procedure institutions • Involvement of FBSD where appropriate • MOU/agreements established with TAFE partners. • Partnerships enabling policy • Recommendation of TAFE agreements made under Business Plan and reviewed by PRC 						

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Students participating in work experience or placement programs may not receive sufficient support from their Faculty/School and/or host organisation, which may result in their inappropriate or unprofessional behaviour.	People management risk	Teaching & Learning	<p>Reputation outrage and media</p> <p>Financial</p> <p>OHS</p> <p>University Performance</p>	<p>Student placements are external</p> <p>Exposure to disease or violent patients and relatives in external clinical environment</p> <p>Harassment/ Bullying</p> <p>Failure to respond to identified hazards or potential OHS issues</p> <p>Students do not know appropriate standard of behaviour.</p> <p>Students unclear of their responsibilities</p> <p>Lack of awareness of responsibilities by Faculty staff</p> <p>Lack of induction/training/supervision from host organisation</p>		<p>DETECTIVE CONTROLS</p> <ul style="list-style-type: none"> Faculty maintains register of all student placements Staff visits to students during placement Student practicum reports <p>PREVENTATIVE CONTROLS</p> <ul style="list-style-type: none"> Work Experience and Work Placement policy suite Faculty work instruction re Work Placement Academic Staff liaison with schools, organisations and other institutions Formal placement agreements reviewed by University Solicitor High level assessment of placements Faculty assesses risk to student prior to placement OHS plans updated and induction/ education programs conducted Student and Host acknowledgement of placement is documented Faculty staff based in clinical settings Feedback mechanisms for problem areas Staff appointed to handle "at risk" students Student code of conduct and discipline policy Student inductions prior to placement Students supervised by external health professional during procedures. Requirement for police checks/Working with Children checks <p>REACTIVE CONTROLS</p> <ul style="list-style-type: none"> Incident reporting protocol Institutional feedback Medical Malpractice insurance Public Liability insurance Professional Indemnity Insurance Student Personal Accident insurance 						

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The educational experience offered to and obtained by international students may be inappropriate, which will impact on the University's profile and may result in a reduced demand for courses	Academic Process Risk	Teaching and Learning	Financial Reputation, Outrage and Media University Performance	<p>Lack of understanding by students of the degree of difficulty involved in achieving satisfactory academic progress.</p> <p>Gap between Faculty expectation of student academic performance and student expectation of same.</p> <p>Students not sufficiently aware of differences in University learning environment compared with their previous learning experiences.</p> <p>Lack of engagement of international students both academically and socially.</p> <p>Failure to offer quality programs and/or infrastructure which are attractive to international students.</p> <p>Failure to deliver programs which are culturally sensitive.</p> <p>Programs which are incompatible with off-shore study.</p>		<p>PREVENTATIVE CONTROLS</p> <ul style="list-style-type: none"> • Compliance with ESOS Act • Internationalisation of the curriculum • Policy and procedures in place • Orientation programs for students who enter at level 2 • CD Rom distributed to new international students <p>DETECTIVE CONTROLS:</p> <ul style="list-style-type: none"> • KMD are fully trained in vetting all material. • Constant review by University's International Office, Faculty's Executive, Teaching and Learning and Marketing • Faculty obtains feedback from Student Evaluation process on deficiency of courses • Student Evaluation process for feedback • Analysis & action of International cohorts feedback • Unit evaluation reports <p>REACTIVE CONTROLS</p> <ul style="list-style-type: none"> • Support services available to international students. • APDC intervention to isolate "at risk" students and take remedial consultation and other action, as required 						

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The Faculty is unable to extend its existing International markets, which will impede the University in achieving its strategic objectives.	Financial Management Risk	Internationalisation	Financial Reputation, Outrage and Media University Performance	<p>Ambitious international student enrolment projections.</p> <p>Weakening of the \$US potentially will make studying in the United States of America cheaper and more attractive.</p> <p>Course prices may impact negatively on student demand.</p> <p>The Faculty may lack sufficient teaching, research and office space to enable it to attract high calibre Australian and international students and staff.</p> <p>Lack of financial capacity to market in international area.</p> <p>Cultural differences in field of pre-service teaching.</p> <p>Marginal English language competency.</p>		<p>PREVENTATIVE CONTROLS</p> <ul style="list-style-type: none"> • Appointment of Director, Academic Partnership and International Relations, International Officer and Dean's Advisor • Internationalisation and Faculty Plans Reviewed Annually • Constant review by International Office, Faculty's executive, Teaching & Learning and Marketing • Internationalising the curriculum • Monitor potential markets with assistance from Deakin International • Active promotion of courses in selected countries • Build on relationships with overseas Ministries of Education and professional bodies • Co-operative programs of professional experiences in selected countries • English language program for HDR students <p>DETECTIVE CONTROLS</p> <ul style="list-style-type: none"> • Monthly reviews of School financial position & forecast • Monitoring Faculty's international fee income • Operational Plan targets are set and monitored • Annual reports on international partnerships. • Internal Audit Unit assesses applicable control(s) for reasonableness. • Partnerships Office database. • Review conducted six months prior to expiration of agreement. <p>[INTERDEPENDENT]</p> <ul style="list-style-type: none"> • Deakin International administer exchange program • MIBT liaison with Deakin International. • Working relationship with Deakin International • Approval of international partnerships made by VC. • Exchange Partnerships policy and procedure • Implementation process for MIBT Agreement. • MIBT Contractual Agreement • MOU/Contracts established with international partners. • NUAA Risk assessment. • Offshore Teaching Partnerships policy and procedure. • Partnerships enabling policy • Recommendation of international partnerships made under Business Plan and reviewed by PRC 						