HUBERT KAIRUKI MEMORIAL UNIVERSITY

RISK REGISTER

JUNE 2021

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1.0 INTRODUCTION

This Risk Register shall be used to document all potential risks and proposed mitigations on HKMU strategic objectives. The preparation of this Register is geared towards maximising the potential for achieving the HKMU objectives as outlined in the strategic plan. The risk register shall be used in conjunction with the HKMU Risk Management Policy.

1.1 Risk Assessment Methodology

The preparation of Risk Register is based on a workshop approach, involving risk identification, risk rating, proposing mitigation controls, and assigning responsibilities to risk owners. The risk assessment exercise bases on the following:

i. Development in new training programmes, increase student enrolment, and improve quality of training.
ii. Developing a professional training programme for all academic staff for improved teaching, research and consultancy skills.
iii. Improving teaching and learning facilities and acquire state-of-the-art technology equipment and software for effective training and assessment of students.
iv. Recruiting adequate number of skilled and competent staff who are continuously updated in their different professions, motivated and supported by a capable administration for improved performance.
v. Initiation of Boko Campus development and to make it functional for students' training and research activities.
vi. Establishment of research and consultancy programmes.
vii. Maximisation of the use of ICT for improved effectiveness, efficiency, and quality assurance in training, research, provision of service, resources management and finance.
viii. Diversification of HKMU sources of income, improving financial management and transforming the University into a financially sustainable institution.

ix. Collaborating and forming partnerships with different institutions and organisations within and outside the country to share and benefit from each other's comparative advantage.

x. Strengthening of Quality Assurance (QA) for improved quality outputs in all training programmes, research, consultancy and other services.

xi. Adherence to gender consideration in planning, student enrolment, staff recruitment, functioning and service provision.

xii. Improving handling of student affairs and welfare at the University.

1.2 Structure of the Risk Register

The register contains the following:

- A briefd description or name of the risk to make the risk easy to discuss.
- The possible impact (or consequence) if event actually occurs rated on an integer scale of 1-3.
- The probability or likelihood of its occurrence rated on an integer scale of 1-3.
- The Risk Score (or Risk Rating) as the multiplication of Probability and Impact, which is often used to rank the risks.
- Common mitigation steps of risk **Identification, Analysis, Planned Response, Monitoring** and **Control.**

2.0 RISK MANAGEMENT PROCEDURES

This section gives a detailed narration of risk management protocols that are to be followed when implementing risk management at the HKMU.

2.1 Risk Management Procedures

The risk management procedures as outlined in this section include the risk assessment process that leads to the construction of the HKMU risk register; treatment of the risks; and communication/reporting procedures.

During the implementation of the Risk Management, HKMU will be required to do the following:

i. **Establish Scope, Context and Criteria.** This is the strategic, organisational and risk management context against which the risk management process at HKMU will take place. Criteria against which risk will be evaluated should be established and the structure of the risk analysis defined. Context could be viewed in terms of external (political, legal, technological, economic, social and environmental) and internal environments to the HKMU (to include all faculties/schools, directorates, departments, units, sections and programmes). These are mostly where the sources of risks come from.

ii. **Identify Risks.** This is the identification of what, why and how events arise as the basis for further analysis. The risk analysis will be against the HKMU's strategic objectives, targets and operations/ functions. This identification may be done through either a Control Risk Self-Assessment (CRSA) workshop, survey or when a new risk emerges.

iii. **Analyse and Evaluate Risks.** This is the determination of existing controls and the analysis of risks in terms of consequence and likelihood in the context of those controls. The analysis should consider the range of potential consequences and how likely those consequences are to occur. Consequences and likelihood are combined to produce an estimated level of risk. This enables risks to be ranked and prioritised. Factors to consider for risk ranking are such as Volume of Transactions, Value of Transactions, Complexity of Systems, Sensitivity of Systems and Control Environment and its quality.

Risk Rating in a three Band

Number	**Impact**	**Likelihood**
3	High (H) also *Major*	High (H) also *Likely*
2	Medium (M) also *Moderate*	Medium (M) also *Possible*
1	Low (L) also *Insignificant*	Low (L) also *Rare*

iv. **Proposing and Planning Risk Treatment.** The overall risk status shall be obtained by multiplying the impact-weighing factor and likelihood (i.e. Impact x Likelihood).

Following table provides different levels of risk status (i.e. product of IMPACT x LIKELIHOOD) with different meaning and proposed responses.

Table 2: Risk Status, Colour Expression and Proposed Response

Total Risk/ Risk Status (Impact x likelihood)	Description	Expression in colour	Meaning and Responses
5-9	High	Red	Serious concern; high priority. Requires immediate action and frequent review.
3-4	Moderate	Brown	Moderate concern; steady improvement needed.
1-2	Low	Yellow	Low concern; occasional monitoring. Tolerate/Accept.

v. **Treat Risks.** For higher priority risks, the department is required to develop and implement specific risk management plans including funding considerations. Lower priority risks may be tolerated and monitored.

The treatment, depending on the type could follow a specific type of response in terms of

- Accept (Tolerate) = Monitor
- Avoid (Prevent or Terminate) = Eliminate *(get out of the situation)*
- Reduce (Treat) = Put controls
- Share (Transfer) = Partner with someone *(e.g. insurance).*

vi. **Monitor and Review.**

- This is the oversight and review management system and any changes that might affect it.

- Monitoring and reviewing occurs concurrently throughout the risk management process.
- The main tool for monitoring will be the benchmark of the proposed action plans with the actual implementation reports.

vii. **Communication and Consultation.** Appropriate communication and consultation with internal and external stakeholders should occur at each stage of the risk management process as well as on the process as a whole. Specific quarterly Risk Management Reports will need to be completed for review by the responsible authorities within the HKMU.

2.3 Risk Recording to the Register

All identified and prioritised risks will be recorded in the HKMU Risk Register. The Risk Register shall be reviewed and updated annually as detailed in the policy statement.

3.0 RISKS SUMMARY

Weight of Impact/Likelihood

3 High (H) also Major - High (H) also Likely

2 Medium (M) also Moderate - Medium (M) also Possible

1 Low (L) also Insignificant - Low (L) also Rare

Total Risk/ Risk Status

5-9 High/Red - Serious concern; higher priority. Take immediate action

3-4 Moderate/Brown - Moderate concern; steady improvement needed.

1-2 Low/Yellow - Low concern; occasional monitoring. Tolerate/Accept.

STRATEGIC OBJECTIVE	RISK	TYPE OF RISK	RISK ID	RISK ASSESSMENT		RISK RATING/STATUS (i)X(ii)	PRINCIPLE RISK OWNER
				Impact (i)	Likelihood (ii)		
SO1: Develop new training programmes, increase student enrolment and improve quality of training.	Insufficient funds for meeting programme requirements	Operational	SO1-01	2	3	6	PPO
	Failure to market new and current programmes	Technical	SO1-02	2	2	4	Marketing Officer
	Insufficient skilled faculty due to inadequate recruitment or retention	Technical	SO1-03	2	1	2	DVCPFA
SO2: Develop a professional training programme for all academic staff for improved teaching, research, and consultancy skills.	Inadequate staff training programmes.	Strategic	SO2-01	2	2	4	DVCAC/ICT Manager
SO3: Improve teaching and learning facilities and acquire state of the art technology equipment and software for effective training and assessment of students.	Reluctance to embrace new technology	Strategic	SO3-01	3	2	6	DVCAC
	Fire risks in buildings	Technical	SO3-02	3	2	6	PPO/Estate Manager
SO4: Recruit adequate number of skilled and competent staff who are continuously updated in their different professions, motivated and supported by a capable administration for improved performance.	Inadequte recruitment of suitable staff	Operational	SO4-01	2	2	4	DVCPFA

SO5: Initiate Boko Campus development and make it functional for students training and research activities.	Insufficient funds for campus development	Strategic	SO5-01	2	3	2	DVCPFA
	Insufficient students for new campus	Operational	SO5-02	2	2	4	Marketing Officer
SO6: Establish research and consultancy programmes	Insufficient winning research and consultancy bids	Operational	SO6-01	2	2	4	DVCAC
SO7: Embrace and maximise the use of ICT for improved effectiveness, efficiency, and quality assurance in training, research, provision of service, resources management and finance.	Lack of will to change	Operational	SO7-01	2	2	4	Head of ICT
	Inadeqate information management systems	Operational	SO7-02	3	2	6	DVCPFA
SO8: Diversify HKMU sources of income, improve financial management, and transform the University into a financially sustainable institution.	Insufficient expertise in resource mobilisation.	Strategic	SO8-01	2	2	4	DVCPFA
	Inadequate financial management resources.	Operational	SO8-02	2	2	4	DVCPFA
SO11: Adhere to gender consideration in planning, student enrolment, staff recruitment, functioning and service provision	Gender inequity and unfairness leading to bad reputation in society.	Operational	SO11-01	2	3	6	DVCPFA & DVCAC
SO12: Improve Handling of Student Affairs and Welfare at the University.	Inadequate management systems for managing students affairs and welfare.	Operational	SO12-01	3	2	6	DOS

4.0 DETAILED RISK ASSESSMENT SHEETS

Risks are aligned to Strategic Objectives, hence each Strategic objective risk is analysed in more detail.

SO1: Develop new training programmes, increase student enrolment and improve quality of training.

- **Develop new training programmes**
- **Increase student enrolment**
- **Improve quality of training**

Risk Tittle: Insufficient funds for meeting programme requirements		**Risk ID: SO1-01**
Principal risk owner	PPO	
Supporting owners	DVCPFA	
Risk Category/type	Operational	
Possible causes	- Decrease in University revenue - Poor budgeting and cashflow management	
Possible Impacts	- Inability to conduct the curriculum review	
Risk Assessment	Impact 2 Likelihood 3 **Risk Rating 6**	
Risk Mitigation	- Write proposal to mobilise funds to undertake Tracer Study for the HKMU - All curricula reviewed by December 2019	
Remarks		

Risk Tittle: Failure to market new and current programmes	**Risk ID: SO1-02**
Principal risk owner	Marketing Officer
Supporting owners	DVCPFA
Risk Category/type	Technical
Possible causes	- Lack of funds - Lack of skilled marketing personnel - Poor marketing plans
Possible Impact	- Poor relations between University and customers - Inability to expand the market base - No market research poor information for decision making
Risk Assessment	Impact 2 Likelihood 2 **Risk Rating 4**
Risk Mitigation	- Good marketing of programmes - Regular revision of advertised programmes - Participation in local and regional exhibition trade fairs - Annual marketing budget - Visiting potential high schools for advertisement - Dissemination hard and electronic brochures to stakeholders (parents, organisations, and secondary schools).
Remarks	

Risk Tittle: Insufficient skilled faculty due to inadequate recruitment or retention	**Risk ID: SO1-03**
Principal risk owner	DVCPFA
Supporting owners	HRAM
Risk Category/type	Technical
Possible causes	- Lack of staff training - Limited availability of suitable staff
Possible Impacts	- Low productivity in teaching and learning
Risk Assessment	Impact 2 Likelihood 2 **Risk Rating 4**
Risk Mitigation	- Advertise and recruit new academic, administrative, technical and/or supporting staff as per TCU and NACTE requirements and HKMU needs. - Training and re-training of available staff
Remarks	

SO2: Develop a professional training programmes for all academic staff for improved teaching, research and consultancy skills

Risk Tittle: Inadequate staff training programmes		**Risk ID: SO2-01**
Principal risk owner	DVCAC/ICT Director	
Supporting owners	HRAM	
Risk Category/type	Strategic	
Possible causes	- Limited funds - Lack of willingness of staffs to attend training - Lack of effective training programmes	
Possible Impacts	- Low quality in teaching and learning	
Risk Assessment	Impact 2 Likelihood 2 **Risk Rating 4**	
Risk Mitigation	- Each Department and/or Faculty to develop and implement staff development programmes - Prioritisation of programmes - Budget fund allocation annually including CPDs seminars and workshops	
Remarks		

SO3: Improve teaching and learning facilities and acquire state of the art technology equipment and software for effective training and assessment of students.

Risk Tittle: Reluctant to embrace new technology		**Risk ID: SO3-01**
Principal risk owner	DVCAC	
Supporting owners	ICT Director	
Risk Category/type	Strategic	
Possible causes	- Inadequte incorporation of technology into curriculum delivery. - Lack of available professional development opportunities. - Teachers do not see how the technology will benefit them in their classroom. - Lack of access to appropriate, manageable technologies.	
Possible Impacts	- Difficult of access to information. - Time consumption - Cost inefficiency. - Poor learning techniques.	
Risk Assessment	Impact 3 Likelihood 2 **Risk Rating 6**	
Risk Mitigation	- Review of ICT policy as catalyst change of behaviour -	
Remarks		

Risk Tittle: Fire risks in buildings		**Risk ID: SO3-02**
Principal risk owner	PPO/Estate Manager	
Supporting owners	DVCPFA	
Risk Category/type	Technical	
Possible causes	- Lack of fire fighting tools - Lack of fire fighting knowledge/training	
Possible Impacts	- Financial losses - Life threatening/losses	
Risk Assessment	Impact 3 Likelihood 2 **Risk Rating 6**	
Risk Mitigation	- Following fire fighting recommendations by Fire Brigade - Purchase and install Fire horse drill and pumps	
Remarks		

SO4: Recruit adequate number of skilled and competent staff who are continuously updated in their different professions, motivated and supported by a capable administration for improved performance.

Risk Tittle: Inadequate recruitment of suitable staffs	**Risk ID: SO4-01**
Principal risk owner	DVCPFA/DVCAC
Supporting owners	HRAM
Risk Category/type	Strategic
Possible causes	- Talent shortage in the market - Skill Shortages - Rapid Innovation - Recruiting strategy is outdated - Poor descriptions are scaring people
Possible Impacts	- Diminished productivity - Conflicts in areas of work - Business failure - Poor Communication - Rejecting teamwork
Risk Assessment	Impact 2 Likelihood 2 **Risk Rating 4**
Risk Mitigation	- Review of HRAM policies to ensure well guided recruitment
Remarks	

SO5: Initiate Boko Campus development and make it functional for students training and research activities

Risk Tittle: Insufficient funds for campus development	**Risk ID: SO5-01**
Principal risk owner	DVCPFA
Supporting owners	PPO/EM
Risk Category/type	Strategic
Possible causes	- Lack of robust fundraising ability - Poorly defined scope of project - Inadequate risk management - Lack of project management skills
Possible Impacts	- Delay in construction of the campus - Disruptions during construction which may lead to other losses and defectiveness
Risk Assessment	Impact 2 Likelihood 3 **Risk Rating 6**
Risk Mitigation	- Annually, HKMU to apportion 15% of her annual collection for Boko Campus Development - Start mobilising funds for Stage II early by submitting fundraising Concept Notes and proposals to various funding agencies for consideration - Follow up commencement and monitor construction of Stage I of Phase I of Boko Campus Expansion facilities. - Identify feasible resource mobilisation strategy (i.e. co-financing, joint venture, build-operate-and-handover to the University or partnership) for some of the facilities in Phase I and II.
Remarks	

Risk Tittle: Insufficient students for new campus	**Risk ID: SO5-02**
Principal risk owner	Marketing Officer
Supporting owners	PPO
Risk Category/type	Operational
Possible causes	- Poor marketing - Limited number of offered programmes - Limited hostel facility - inability of students to meet tuition fee cost
Possible Impacts	- Low revenue and profitability - Inability to repay loans if any - Low operational efficiency - Inability to exploit economies of scale due to lack of bulk procurement
Risk Assessment	Impact 2 Likelihood 2 **Risk Rating 4**
Risk Mitigation	- Introduction of new academic programmes such as Diploma in Pharmacy, Diploma in Health Laboratory Sciences, Environmental Health Science etc.
Remarks	

SO6: Establish research and consultancy programmes

Risk Tittle: Insufficient winning research and consultancy bids		**Risk ID: SO6-01**
Principal risk owner	DVCAC	
Supporting owners	Director Institute of Postgraduate	
Risk Category/type	Operational	
Possible causes	- Lack of appropriate organ to coordinate research matters - Lack of research skills among staffs	
Possible Impacts	- Loss of credibility - Mistrust of public on consultancy services	
Risk Assessment	Impact 2 Likelihood 2 **Risk Rating 4**	
Risk Mitigation	- Establish HKMU Research and Consultancy Bureau (to review Consultancy policy and motivate staff to do research and consultancy) - Develop and conduct training programmes to build capacity for faculty members and students to engage in research	
Remarks		

SO7: Embrace and maximise the use of ICT for improved effectiveness, efficiency, and quality assurance in training, research, provision of service, resources management and finance.

Risk Tittle: Inadeqate information management systems		**Risk ID: SO7-01**
Principal risk owner	Director of ICT	
Supporting owners	DVCPFA	
Risk Category/type	Operational	
Possible causes	- Lack of funds to acquire the systems - Low willingness to adopt the systems - Staff lacking knowledge to importance of system	
Possible Impacts	- Inability to recover in the time of crisis - Impact in productivity due to por internal communications - Poor management of Human Resources - Poor financial reporting and management - Reduced University competitiveness in the current ICT globe	
Risk Assessment	Impact 3 Likelihood 2 **Risk Rating 6**	
Risk Mitigation	- Improve ICT infrastructure to support core functions of the University (Teaching, learning, research, human resources, financial, and asset management) - Develop or acquire Information Management System that will integrate all core functions necessary to convert HKMU into a paperless environment. - Regular Appropriate training of all end users.	
Remarks		

SO8: Diversify HKMU sources of income, improve financial management, and transform the University into a financially sustainable institution.

Risk Tittle: Insufficient expertise in resource mobilisation	**Risk ID: SO8-01**
Principal risk owner	DVCPFA
Supporting owners	PPO
Risk Category/type	Strategic
Possible causes	- Lack of proposals of alternative income sources
Possible Impacts	- Failure to exploit/survive the economic cycles - Constraints in financial freedom - Shut-down in case of rapid down-turn in tuition fees
Risk Assessment	Impact 2 Likelihood 2 **Risk Rating 4**
Risk Mitigation	- Operationalise HKMU Endowment fund - Mobilise HKMU Endowment Fund to reach a minimum of TZS 1 billion in five years.
Remarks	

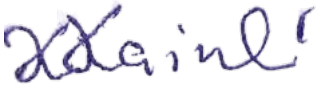
SO11: Adhere to gender consideration in planning, student enrolment, staff recruitment, functioning and service provision

Risk Tittle: Gender inequality and unfaireness leading to bad reputation		**Risk ID: S11-01**
Principal risk owner	DVCAC and DVCPFA	
Supporting owners	All staff	
Risk Category/type	Operational	
Possible causes	- Lack of gender-sensitive working and learning environment - Lack of comprehensive policy on gender issues - Lack of a gender desk	
Possible Impacts	- Unproductive working and learning environment - Tarnished image of the University - Health problems to victims such as anxiety, depression, lowered self-esteem and undue stress - Unfair student assessment	
Risk Assessment	Impact 3 Likelihood 2 **Risk Rating 6**	
Risk Mitigation	- Develop HKMU Gender Policy/Guideline - Designate an Office or Department to oversee gender issues at the University. - Set aside and/or mobilise funds to address gender issues or programmes, monitor implementation of identified gender programmes.	
Remarks		

SO12: Improve Handling of Student Affairs and Welfare at the University.

Risk Tittle: Inadequate management systems for students affairs and welfare		**Risk ID: S12-01**
Principal risk owner	DOS	
Supporting owners	DVCPFA	
Risk Category/type	Operational	
Possible causes	- Lack of proper oversite from the Dean of Students' office - Failure to follow hygiene in students learning environment - Lack of forums for the students/administration interaction - Inadequate staff in DOS office	
Possible Impacts	- Students activism - Outbreak of diseases - Uncomfortable University life for studies - Uncomfortable economic situation for students - Loss of students influence as ambassador of University - Lack of cultural and religious rights - Poor protection of students leading to intimidation	
Risk Assessment	Impact 3 Likelihood 2 **Risk Rating 6**	
Risk Mitigation	- Strive to improve coordination of students' affairs and annually provide implementation report. - Facilitate participation of students in sports and games on annual basis - Support student social services such as cafeteria and business centre. - Support students in identifying suitable off campus hostel to complement HKMU hostel. - Ensure that all students are registered with a Health Insurance Scheme - Vice Chancellor to meet students at least twice a year according to the University Almanac. - Prepare a detailed orientation programme and a Booklet for new Postgraduate and Undergraduate students. - Review Students Rules annually or as it may be required. Students Rules and the HKMUSA Constitution should be available on the University Website for ease access and reference - Prepare a university wide schedule on academic and social counselling services - Allocate academic advisors to students as their mentors - Promote preventive measures - Include creation HIV/AIDS awareness in the student community	
Remarks		

This risk register was approved by the Board of Kairuki Health and Education Network at its meeting held on 23rd June 2021. The risk register shall come into effect on 24th June 2021 and Management is responsible for its implementation and periodic review in accordance with University governance requirements.



Kokushubila Kairuki
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