

**THE OPEN UNIVERSITY OF TANZANIA**  
**DIRECTORATE OF QUALITY ASSURANCE AND CONTROL**

**RISK MANAGEMENT POLICY AND OPERATIONAL PROCEDURES**

**2016**

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## INTRODUCTION

### 1.0 BACKGROUND

Tanzania has a Hazard and risks management policy. The policy is intended to prepare the people and their leaderships at national, regional, district and institutional levels to monitor and periodically assess and take proactive steps to mitigate potential hazards. Such steps help to ensure safety of people and property including safeguarding national development initiatives and plans. The policy addresses such potential risk and hazard areas as the spread of drought, floods, threat of famine; emergence of epidemic and contagious diseases; incidences of road; train, air and water transport accidents altogether to guarantee traffic safety etc. Tanzania also already has laws, regulations and procedures requiring people to be informed about precautionary measures for management of risks and hazards. Generally the policy and procedures are intended to reduce the impact of the above natural and human induced risks including worksite and industrial establishments, sites of gaseous and other emissions and radiations, fire risks and hazards, earthquakes and other earth movements, public rallies and social unrests, military uprisings, etc.

It is along the same lines that this proposed Risk Management Policy intends to address risk areas at the Open University of Tanzania (OUT). The OUT desires that its staff and the university community in general, regularly participate in the identification, assessment, recording and reporting, all risks and hazards impacting or likely to impact the university or any of its units. The members of the university community should also be aware of standard procedures for, and to be proactive in taking safety measures should any event threaten university property or lives.

### 2.0 DEFINITIONS

In this policy the following terms and phrases are in use. The definition of each such term is of strategic importance in understanding and effective operationalization of the policy.

**Risk is** any human induced threat, observation, issue, action or unintended, unplanned and unexpected chance event of uncertain outcomes that can adversely or beneficially impact the achievement of the defined mission and objectives of an institution. Since a risk is preventable, a university's operations should always take a balanced view of all the risks in its environment considering the opportunities, gains or aversions that come with every risk.

**Hazard**, like risk refers to any natural disastrous event, condition, situation, practice or behaviour that has the potential to cause harm, including injury, disease and death as well as damage to property, equipment and or environment.

**Risk and Hazard Identification** refer to the process of examining each work area and task for any potential risks or hazards which are "inherent in the job". University work areas include lecture halls and other teaching spaces, seminar rooms, conference or meeting rooms and halls; libraries, machine workshops, laboratories, office areas, grounds and walkways, agricultural and horticultural environments, stores, transport facilities, etc. **Tasks** that can cause potential threats and risks can relate to construction sites, remodelling or repair of infrastructure; assembly, movement, maintenance and repair of plants and equipment; movement of industrial equipment and heavy loads; driving a vehicle or other transport facility; handling of hazardous substances;

lecturing, running seminars, organizing meetings; recreation facilities and activities, interaction with people and dealing with emergency situations.

**Risk Assessment** is the process of determining the magnitude of risks and hazard and their likely harm, injury or ill health so that appropriate control decision making and measures can be effected.

**Risk Management** is the systematic and ongoing process, approved by the top organ of management, and deliberately designed to involve all the institution's stakeholders in identifying, assessing, reducing and monitoring the impact, or taking advantage of potential threats, events, issues, or actions that are likely to impact the achievement of an institution's Mission and objectives.

Risk Management is not solely about limiting risk but rather about fully appreciating and recognising the risks in which we operate by balancing risk and reward in an informed manner. Johnson (2005) asserts that "the greatest risk of all is not to take risks". Under normal circumstances, therefore, risks cannot be eliminated but they can be efficiently and effectively managed through clear policies, rules and operational procedures and integrating risk management into business planning, budgeting, internal audit and monthly reporting processes. An institution's management always determines how much risk it is prepared to accept in order to achieve its defined objectives.

**Risk Control** is the process of identifying and deploying the most cost effective risk mitigation measures.

**Risk Monitoring and Review** involves continuous surveillance for potential hazards, risk assessment and risk control processes and their periodic reviews such as to ensure their effectiveness in the short and long terms.

### 3.0 JUSTIFICATION

The environment in which Universities operate world wide is becoming increasingly threatened by new patterns of human behaviours, changing roles and modes of knowledge acquisition, diverse developments in science, technology and innovation, increasing application of ICT, changing expectations of students and the labour markets; rising public demand for institutional accountability, transparency and disclosure, funding constraints, increasing cross border engagements and interlinks with other organisations; liberalization and globalization of access to higher education, the need for more attractiveness of programmes to international students, teaching and research staff as well as competitiveness of graduates for local and international opportunities for jobs, places for higher studies, research and consultancy.

Internally, higher education is becoming increasingly subject to national scrutiny by political, regulatory and accountability organs that are themselves having rapidly changing outlooks and expectations. In the global scene emergence of international quality requirements, including meeting International Standards Organisation, (ISO) conditions for certification and recognition are placing more demands for the competitiveness of higher education core functions and contributions. These factors are, altogether impacting or likely to impact the achievement of the objectives of the Open University of Tanzania and indeed other similar institutions. The consequent

business risks within which the university operates are, therefore, becoming more complex and demanding innovative and structured risk management approaches.

The Open University of Tanzania like other higher learning institution in the world has critical and at times risk posing roles in Tanzania's public functions. it is, for example, a centre of knowledge dissemination and scientific research, ; and therefore a meeting place for a full range of people, including students, academic staff, consultants, contractors delivering goods, works and services, visitors and other members of the public curious and desirous to know what goes on in the University. Also like any other Universities in the world OUT owns properties including land, buildings, plants, equipments, machinery and other working tools that facilitates accomplishments of its core functions particularly teaching, research and consultancy services provision. Therefore OUT is duty bound and obliged to ensure that it reduces or eliminates all forms of risks in its day to day engagements and operations for smooth achievement of its defined vision and mission.

#### **4.0 RISK MANAGEMENT POLICY, GUIDELINES AND OPERATIONAL PROCEDURES**

##### **4.1 Policy Purpose, Mission and objectives**

###### **4.1.1 Purpose**

The main purpose of the risk management policy at the OUT is to provide a framework for early identification, mitigation and control of risks and hazards that may impact the achievement of the mission and objectives of the institution. In order to achieve this goal risk management must be an integral function of all function managers and staff of the University.

Generally, the policy is intended to ensure that the Open University of Tanzania has a formal process for involvement of staff and other members of the university community in the continuous identification, assessment, management and control of potential and real time risks and hazards that can impact or threaten the safety of property as well as the health and safety of the university staff, students, contractors, visitors and other stakeholders of the institution.

###### **4.1.2 Mission**

The **Mission** of the OUT Risk Management policy therefore is to integrate risk identification, assessment and mitigation decision making and actions in guaranteeing the safety of property and people for the smooth achievement of the university's objectives.

###### **4.1.3 General objective**

The general objective of the Risk Management policy and procedures of the OUT is to ensure that the University has a formal process of involvement of staff and other stakeholders in the continuous identification, assessment, management and control of potential risks and hazards that can impact or threaten safety of people and properties.

###### **4.1.4 Specific objectives**

The **specific objectives** of the OUT risk management policy are to:

1. promote awareness, among the University community about the need for them to participate in risk identification, reporting and treatment,
2. improve the University's likelihood to achieve its mission and objectives,

3. provide authentic information that will support the university management's decision making
4. ensure that the University comply with quality assurance requirements by the government and related international quality assurance organs.
5. enhance environmental protection and health and safety of the university community,
6. improve overall stakeholders' confidence and trust in the University.

#### **4.1.5 Guaranteing safety of people and properties**

Mindful of the need for and determination to have in place a risk management policy, the OUT management already has:

- (a) a concern for the safety of the university assets, other public property and the health and safety of staff, students, contractors, visitors and other stakeholders of the institution,
- (b) an understanding that it has the duty and obligation to care for and guarantee the health and safety of all persons in the university community,
- (c) realization of the challenge to be morally and ethically bound to be accountable to the public for all actions that promote or indeed damage the integrity and credibility of the OUT.

It is important, therefore, for the university to include risk management as part of its overall management and governance requirement and so guarantee the safety of people and properties.

In consequence,

- P1 As part of its governance tool, the Open University of Tanzania shall have a policy for risk management that complies with similar policy provisions in government and other public establishments
- P2. Preparedness against potential risks and hazards shall characterise the university's management decision making
- P3. The OUT heads of units and staff shall undertake periodic evaluation of relevant work places in order to identify and proactively mitigate potential risks and hazards and so guarantee the safety of people and properties.

Operationally every member of the university staff is recognised as having a significant role in the management of risks in the work place. This role may range from initial identification and reporting of risks associated with their work place and to actively participate in the risk control and management process.

#### **4.2.0 Potential risks at the OUT**

The Open University of Tanzania faces a number of challenges, uncertainties and, therefore, risks in its inputs, processes and outputs related to the core functions of teaching, research and consultancy of the university. Some of the risks are discernible in the "threats and weaknesses" in the institution's endeavour to have a befitting Rolling and Strategic Plan. The potential risks likely to impact the university's day to day operations include but are not limited to the following:

##### **4.2.1 Input risk areas**

###### **(a) Location, access routes and exit points of the university**

By virtue of their physical location, some of the university's facilities country wide may have insecure access and exit routes. For example, the access road to the

Bungo Headquarters site of the university and the entry options off the Kawawa Road, into the temporary headquarters of the university at Kinondoni are risk posing areas for motor vehicles. University buildings need to be appropriately located for ease of access. The Bungo access road needs to be expanded and upgraded with tarmac in order to eliminate dust and guarantee safety for motorised and pedestrian traffic. The same may apply to Regional Centres country wide.

**(b) Exits from the university buildings**

Entry and exit points of the different buildings of the university pose risks to public safety in the event of a hazard. This threat applies to such facilities as for academic, research, consultancy, administrative, technical support facilities and assembly areas. Existing exit points are neither labelled with appropriate exit signs nor adequate in sizes and numbers for emergency evacuation. In many cases the doors are fitted to open inwards instead of outward, posing a threat in the event of the need for evacuation of persons and property should that become necessary. Similarly, the members of the university community are not aware of any specific assembly and roll checking areas in the event of emergency removal from buildings such as lecture cum assembly halls, seminar rooms, conference rooms, hostels, science laboratories, workshops etc.

**P4 The University shall ensure appropriate and safe location of its physical facilities including all its access and exit routes and points.**

**(c) Safety gear in construction sites and work environments.**

It is mandatory for all persons in sites of construction, installation, service and repair of plants and machines, motor vehicles as well as those involved in cleanliness of the environment, to be provided with and to wear protective and safety gear. Such protections include firm scaffolding, body cover, head helmets, hand gloves, and availability and preparedness to use First Aid Kits. In precaution therefore,

**P5 All persons involved in construction, remodelling, installation, repair, maintenance and cleanliness of the university facilities, plants, machines and environment shall wear appropriate protective gear.**

**(d) Academic risks and quality of university programmes.**

Academic risks in a university can be caused by changing consumer behaviours and expectations, increasing demands for competitiveness and labour markets responsiveness of the academic programmes, science and technology initiatives (STI), research and consultancy plans and services; insufficient publicity of the programmes offered, inadequate allocation and mismanagement of financial resources and admission of would be students that do not have the requisite entry qualifications.

Other threats include inadequate competence and experience of academic staff; ineffective course delivery and students' supervision and performance assessment and records management systems; doubts about the quality of graduates, inadequate relevance of research undertaken and results obtained; risks associated with participation in games and sports, field work and excursions, and uncertainty about the university's operations beyond the country's borders such as in current coordination centres in Kenya, Namibia and Rwanda,.

(e) **Financial, human and material resources**

The university's core functions are enabled through provision and efficient and effective use of financial, human and material resources. The need is clear that these resources should be safely kept and managed for the expedient realization of the university core functions.

Therefore,

**P6 The university shall ensure periodic reviews of its academic, research and consultancy programmes, plans and extension services for their appropriate allocation and management of resources, effective delivery, labour market responsiveness and to meet public expectations.**

#### 4.2.2 Process and output risks

(a) **Design, delivery and evaluation of programmes:**

- It is risky for the university to have academic and related staff that are neither appropriately qualified and experienced nor in adequate numbers. Such a threat puts to question the design and competitiveness of academic programmes offered, the effectiveness of course delivery systems in use, students' study and learning styles for course mastery, the objectivity of students' supervision and performance assessment mechanisms and instruments (tests and examinations) and the quality of research proposals, research outputs, dissertations writing and consultancy plans and activities.
- All these observations pose a threat and put to risk the credibility of the university vis a vis the quality and marketability of its graduates, research outputs, consultancy services and publications even among other universities and the general world of academia. They make uncertain the marketability and acceptability of the university products in the labour markets especially when they fail to qualify for higher studies and research opportunities or to compete for available job vacancies nationally, regionally and internationally. In this way the graduates will be failing to provide proof of value for tax payers' and other money invested in their education and the university may fail to attract consultancy services to government ministries and departments, public and private local, regional and international institutions and organizations.

Therefore,

P7 The University shall employ and engage qualified and experienced academic, research and other staff in guaranteeing the market relevance of programmes offered, research and consultancy activities

P8 The University shall undertake periodic tracer studies of its graduates for appropriate review, for enhanced relevance and quality of academic programmes, students' supervision and performance assessment systems, Masters Dissertations and PhD theses and the overall acceptability of the OUT graduates in the jobs markets world wide.

(b) **Application and use of ICT**

In as much as the use and application of ICT is an important support to staff, students and researchers in enabling access to study and research reference materials, it can be misused to pirate passwords, to access private or unauthorised information, inappropriate and even vulgar material altogether to the risk of the moral development of the university community. ICT can also be a means for phishing and cyber crime. Such threats in the use of ICT can be controlled through:



- expansion of skills training in IT to reach staff in all sections of the university and hence promote internet penetration and matching security;
- introduction and promotion of cyber security to guard the institution against vendors of computer operating systems that do not have adequate integrated antivirus and malware capability including installation of malware detection system in all computers connected to the internet;
- guarding against internet downloads of software in order to reduce computer viruses,
- guarding against IT use to facilitate cyber crimes by installing passive monitoring devices for early detection and prevention of the vice ;
- guarding against malware and worms, spam information, password stealing, piracy and hacking and unauthorised software and,
- establishing computer emergency responses and, when necessary, using the kill switch to stop internet misuse and respond with cleanup mechanisms

Therefore,

**P9 The use of ICT in the university shall be for the intended purposes commensurate with the mission and objectives of the university and control measures shall be ensured to curb all misuse of the technology service.**

Other risks likely to impact the university's mission and objectives are listed in the OUT Risk Register.

## 5.0 Risk Management

An institution's risk management policy and process help to ensure that all controls put in place are effective in identifying, monitoring, assessing and controlling possible risks and uncertainties that the university may face in its day to day operations.

### 5.1 Principles

In principle, Risk Management must:

- be an integral part of the university management and decision making processes,
- be timely and based on the best available information,
- take human and cultural factors into account,
- facilitate the continual improvement of the institution.

#### 5.1.2 Requirements

The requirements for risk management include inter alia:

- ✓ **Commitment** by the university's Management and Heads of Faculties, Directorates, Institutes and other work units to build and promote a strong internal environment and culture of risk consciousness, identification and management,
- ✓ **Transparency** in management ethics, values and culture of integrity, and staff competence and commitment to the institution's mission and objectives,
- ✓ **Clear channels of communication** applicable throughout the university work places from Faculty, Directorate, Institute, Department and Unit levels,
- ✓ Allocation of the **responsibility** for coordinating the management of risks,

- ✓ Establishment of a **Risks Monitoring and Assessment Committee** to oversee the institution's risk identification, assessment, categorization and control processes and advise management,
- ✓ **Staff training, induction and drills** in risk proneness of the institution and creating the desired culture of risk consciousness and control,
- ✓ Clear **procedures for risk identification** and quantification to determine the threat level of potential risk,
- ✓ **Arrangements for risk management** including mechanisms for assessing the effectiveness of those arrangements,
- ✓ Resource allocation to ensure periodic university wide risk control, **monitoring and review** for more effective risk management strategies,

**P.10 The University shall have a Risk Management Committee to monitor risks and their control and ensure proactive actions in the identification, assessment, prioritization and mitigation of risks likely to impact the operations of the university**

### **5.1.3 Risk Management procedures**

It is the responsibility of every category of staff to cooperate with management in complying with this policy. In order to actualize this obligation risk management must be classified as one of the integral roles of Deans, Directors, Heads of Institutes, Departments and Units as well as every member of the university community. Each member of the university staff shall have a significant role to play in the management of risks in the work place.

Already the University has an elaborate Rolling and Strategic Plan that is periodically reviewed to ensure that all activities therein are focused on the targeted objectives. It is the university's desire to ensure early monitoring, detection and mitigation of risks that are likely to threaten the achievement of the objectives outlined in the RSP. A rigorous and systematic approach to identifying and adequately managing risks is therefore, essential.

Risk management starts from initial identification and reporting of a risk associated with the work place. The risk is analysed, assessed and weighted. Through active participation of all staff and even students, the risks and threats are mitigated, controlled and removed. The overall thrust of risk management in the university is to ensure that all mechanisms put in place are effective in identifying, assessing and controlling potential risks in all work places and in all the day to day operations of the university.

#### **(a) Building a culture of risk management**

Culture of risk identification and mitigation enable an institution to:

- ensure timely identification, evaluation and acceptance or control of risks,
- set acceptable risk thresholds for all activities,
- facilitate early identification, mapping and controls against risks,
- enlist risk indicators for use in different situations,
- promote and guarantee the achievement of the university's set objectives.

Therefore,

**P11 The university shall commit itself to building a culture of risk management among all staff through induction training and periodic**

rehearsals and drills such as for fire safety, earthquake and other potential hazards;

**P12 The University shall guarantee the safety and health of students, staff and visitors of the institution, through appropriate regulations, allocation of duties, responsibilities and resources, and periodic monitoring, evaluation and updating of the risk management processes**

**(a) Risk Identification**

Every member of staff of the university is duty bound to identify every potentially risky or hazardous situation which could result in any harm to property or person in the workplace. Risk identification helps in ensuring early:

- (i) awareness of potential risks in the workplaces,
- (ii) identification of the magnitude and gravity the of potential risk,
- (iii) decision making about control measures needed to prevent or minimize the level of impact of the identified risk,
- (iv) fixing of the problem by using available resources and control measures,
- (v) monitoring and regularly reviewing the effectiveness of existing risk management and control measures for their greater effectiveness in future events.

The Risk and hazard identification process requires that:

- Past incidents/accidents be examined to see what happened and whether the incident/accident could happen again,
- Staff, students and visitors are consulted to find out what they consider to be the safety issues in their areas of work or business,
- Work areas or sites be periodically examined to identify potential risks,
- Information be collected and disseminated about the safety of sites, equipment, plants and materials including those being considered for procurement,
- Creative thinking be deployed about what could go wrong or could take place, i.e. what risky or hazardous event could occur, and institute precautionary measures to mitigate the likely risks.

Any risk or hazard identified through the above process should be recorded and made known or communicated to all staff in the concerned work places.

**(b) Risk assessment and weighting**

Once a risk or hazard has been identified, the next move is to determine how likely it is that some property or someone could be harmed by the risk or hazard. Risk assessment involves analysing the impact of an identified risk. Risk response indicates the acceptable degree of avoidance or acceptance of risk in a particular situation.

The process of assessing a risk is undertaken through reviews of any available information about the risk or hazard (e.g. a law, regulation, Industry Code of Practice or available guidance material about the hazard). Use should also be made of available work experience about what the risk or hazard could lead to, how likely this could happen and what mitigation measures are most appropriate.

Risk assessment helps management and staff, through their regular consultations, to ensure compliance with health and safety regulations as set by the relevant regulatory authorities at district, regional and national levels. Safety regulations at workplaces require every member of staff to be able to identify, assess, fix, record and report, to the appropriate risk management office, all hazards and risks including measures used or needed to mitigate and control the identified risks and hazards.

**(c) Risk Mitigation and control**

- ✓ An institution’s risk management aims to ensure that all monitoring and control mechanisms put in place are effective in identifying, assessing and controlling potential risks and hazards in the day to day operations of the establishment. Once a risk has been identified and assessed, it is given an order of priority so that decisions for up front corrective actions can be made in good time. If the threat is obvious and the likelihood and the seriousness of harm or injury is thought to be high, immediate action shall be taken to control the risk by using an interim short-term measure. Then research is undertaken to fully assess the risk and decide on permanent control measures.

The following chart helps to locate and plot the probability and impact of risk and enables the appropriate assessment of and response to an identified risk

<b>High</b> ↑ <b>IMPACT</b> ↓ <b>Low</b>	<b>Medium Risk</b> <b>Share</b>	<b>High Risk</b> <b>Mitigate and Control</b>
	<b>Low Risk</b> <b>Accept</b>	<b>Medium Risk</b> <b>Control</b>
	←	→
	<b>PROBABILITY</b>	
	←	→
	<b>Low</b>	<b>High</b>

The university may respond to the above risk situations as follows:

- (a) When both probability and impact of risk are low (Lower left quadrant) the university shall **accept** the **risk**,
- (b) When both the probability and impact of risk are high (upper right quadrant) the institution shall design methods to **mitigate and control** and reduce exposure to the risk.

- (c) When there is high probability of risk but its impact is low, (Medium risk lower right area) the institution shall design strategies to **control the risk**,
- (d) When there is a low probability but high impact of risk (medium risk as in upper left quadrant), an institution should consider **sharing the risk** with the neighbouring community, other institutions, insurance agents, or through agreements with other stakeholders of higher education, Therefore,

**P13 The University shall establish mechanisms for timely identification, assessment, weighting, decision making and control of potential risks and hazards impacting or likely to impact the university operations at all its levels.**

**P14 Every function unit and work area of the university shall ensure early identification, assessment and control of risks that are likely to impact the university**

**Risk Control** is effectively achieved through management and staff accountability and consistent and assured adherence to established risk management policies and procedures. Risks may be controlled under different circumstances through:

- getting authorisation or approval for making purchases, or making payments;
- undertaking regular reconciliation of bank statements;
- Ensuring clear definition and segregating of staff duties;
- Educating and training and retraining of staff to remind them about the institution's policies, vision, mission, objects, core values, expectations, strategic plans and the crucial role of their integrity and support in periodic monitoring of all the institution's activities for risk identification and early controls.
- Giving priority to enhancement of risk control measures in areas with high risk potentials such as accounts and procurement units, construction sites and academic excellence.
- Periodic reviews of the institution's vision, mission and objectives in order to focus on tasks, and activities that can be prone to risk,
- Periodic reviews of the institution's decision making, documentation, internal and external communication, records keeping and monitoring systems to identify risk loopholes,
- Performing periodic risk status and follow-up reviews.
- identifying and correcting flaws in the definition of staff responsibilities and code of conduct,
- keeping all windows and doors locked when leaving an office or hostel room, and
- keeping valuables from unnecessary exposure or near windows and marking every valuable with appropriate ID mark in the event that it is stolen or forgotten – this will make it easier for police to trace the owner and harder for thieves to sell stolen goods.

**(d) Monitoring and evaluation**

In order to ensure the university's preparedness to handle any risk situation at all its levels of operation, namely, at Faculty, Directorate, Institute and

Regional or Coordinating Centres, it is essential for the institution to undertake periodic risk identification, assessment and evaluation.

Monitoring and evaluation of an institution for risks can be undertaken:

- every quarter, namely, last week of March, June, September and December,
- whenever a risk or hazard is imminent or has been identified internally or in other related parts country wide,
- after there has been an incident or outbreak of eg. contagious diseases within or in the neighbouring communities.
- whenever there has been infrastructural additions or changes in existing physical facilities in a workplace.

Risk monitoring ensures adherence to established risk management policies and procedures, timely detection and determination of risk acceptance, mitigation, control or sharing.

Therefore,

**P15 Every function and work unit of the university shall regularly monitor effectiveness of risk management mechanisms in place with the view to improving the application of those mechanisms in future events**

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## Appendix

### RISK MANAGEMENT OPERATIONAL PROCEDURES

#### Risk Categories and Management Procedures (Risk Register)

SN	Risk category	Potential risk	Risk assessment				Mitigation strategies	Responsible	Remarks
			H	M	L	RS			
1.0	<b>Strategic</b>								
1.1	<b>Governance</b>	Lack of clear and disseminated organizational structure					Clear OUT Organisational structure in place	Management	
1.2	<b>Appointment of CEO</b>	Doubtful integrity of Council Members					Members of University Council carefully selected and of high integrity	University Council	
1.3	<b>RSP</b>	Inadequate staff participation in RSP development					Deans, Directors and Heads of Department to conduct in-house induction on approved RSP	Management	
1.4	<b>Resource allocation</b>	Inadequate allocation of funds to key function areas					Directorate of Planning and Director Finance and Accounting to collaborate in ensuring outcomes based allocation of funds	DP&DFA	
1.5	<b>Market forces</b>	Inadequate publicity of OUT products and services - Programmes, consultancy services					DIEMT to ensure all approved programmes and activities of the OUT are widely disseminated to public – radio, TV, newspapers, newsletters, brochures, posters	DIEMT	
1.6	<b>Clients' service charter</b>	Inadequate coverage					HR Directorate to ensure the charter responds to all aspects of the OUT interface with the public	D - HR	
		Inadequate staff induction					HRD to induct staff on appropriate treatment of university stakeholders and visitors	D-HR	
		Inadequate observance					HRD to establish mechanisms for collecting public views in respect of services provided by OUT staff	D_HR	
2.0	<b>Environment</b>								
2.1	<b>Climate change</b>	Lack of staff awareness and understanding of impact of climate change					FASS Dept of Geography and FTES Dept of Environment to conduct periodic staff induction into issues of climate change and expected roles of citizens	Deans FASS, FTES	
2.2	<b>Drought</b>	Inadequate rains and water supply					OUT staff in Regional Centers to be empowered and inducted to harvest rain water for use in times of drought	DVC RS & ETs; Directors Reg. Centres	
2.3	<b>Floods</b>	Stormy rains and					Every staff member to take heed	All staff	

SN	Risk category	Potential risk	Risk assessment			Mitigation strategies	Responsible	Remarks
		blockage of water ways				and safety measures in times of serious weather changes – away from big trees, gum boots, umbrellas		
2.4	<b>Earthquake</b>	<ul style="list-style-type: none"> <li>Buildings not designed to withstand</li> <li>Staff unawareness of safety procedures</li> </ul>				D P and OUT civil engineers to ensure appropriate designs of OUT buildings to withstand climatic and other natural threats	DP, Civil Engineers	
2.5	<b>Fires</b>	Staff unawareness of exit routes from buildings & assembly points				<ul style="list-style-type: none"> <li>All buildings to be fitted with emergency exit route signs</li> <li>DHR to identify appropriate open assembly points and roll taking mechanisms for all staff and visitors should evacuation from buildings becomes necessary</li> <li>University centres to have an alarm system for emergency exits from buildings</li> </ul>	D-HR  D-HR	
2.6	<b>Attacks from the unknown</b>	Staff unpreparedness				HRD to ensure people safety steps as for incidences of fires and other disasters	D-HR	
3.0	<b>Management and Operations</b>							
3.1	<b>Legal provisions</b>	<ul style="list-style-type: none"> <li>Lack of approved OUT Charter and rules</li> <li>Unclear safeguards for the OUT assets eg insurance</li> </ul>				<ul style="list-style-type: none"> <li>The OUT charter and rules is in place legalizing all university activities</li> <li>HRD and DF to ensure insurance of all university properties</li> </ul>	Management  D-HR, DFA	
3.2	<b>Legal processes</b>	Lack of competent legal counsels of the OUT				Legal Counsels in place and effective	Management	
3.3	<b>Assets management</b>	Lack of proper recording and marks of OUT assets				All OUT assets in Hqrs and Regional Centres plus have OUT marks and recorded in appropriate assets registers	DFA, CIA	
3.4	<b>Security</b>	Lack of creditable security company to provide full time surveillance of OUT properties				The OUT has in place an efficient and effective security company – not reason for complacency. Every staff member to be security conscious	DVC HR, D-HR	
4.0	<b>People - Stakeholders, staff and visitors</b>							
4.1	<b>Visitors</b>	Lack of in and out records and issuance of visitor cards to OUT				HRD to establish and ensure the use of an all visitors' entry and exit register	D-HR	



SN	Risk category	Potential risk	Risk assessment				Mitigation strategies	Responsible	Remarks
		visitors							
4.2	<b>Staff IDs</b>	Inadequate monitoring and enforcement of staff wearing of the OUT ID					<ul style="list-style-type: none"> <li>All OUT staff wear IDs during office hours.</li> <li>HRD to ensure all who wear the IDs are indeed OUT staff</li> </ul>	D-HR D-HR	
4.3	<b>Staff conduct and behaviours</b>	Lack or inadequate induction, dissemination and monitoring of staff code of conduct					HRD to establish and enforce a staff code of conduct	D -HR	
4.4	<b>Staff dress code</b>	Lack of university wide dress code					HRD to consider a dress code for the university in compliance with relevant Govt code	D-HR	
4.5	<b>Staff interpersonal relations</b>	Lack of mechanism to enforce regulation curbing staff arrogance, foul language, gender molestation etc					HRD to ensure that all OUT staff treat all OUT visitors with due courtesy and respect	D-HR	
4.6	<b>Staff – students’ relations</b>	Inadequate enforcement of regulations to forbid staff – student mistreatment, harassment and demand for sex and other favours					HRD to issue and enforce appropriate regulation(s)	D -HR	
4.7	<b>Staff - visitor relations</b>	Inadequate customer care training for all staff					HRD to ensure all OUT staff induction in customer care and compliance with the OUT Clients’ service charter	D-HR	
5.0	<b>Financial</b>								
5.1	<b>Liquidity of the OUT</b>	Inadequate resource mobilization strategies, financial planning and management					Management to pool resource mobilization efforts including income generation activities for increased liquidity of the university	Management	
5.2	<b>Income &amp; expenditure</b>	Inadequate monitoring of the OUT incomes and expenditure avenues					DFA and CIA to ensure effective monitoring of the university incomes and expenditures	DFA; CIA	
5.3	<b>Internal audit</b>	Inadequate all round audit and monitoring of OUT assets					CIA to ensure regular monitoring and authentication of OUT funds and assets	CIA	
5.4	<b>External audit</b>	Possible lack of integrity of appointed OUT external auditors					Management to ensure appointment of creditable external auditors for the university	Management	
5.5	<b>Payments</b>	Inadequate authentication of					OUT CIA to ensure authentication of all payments	CIA	

SN	Risk category	Potential risk	Risk assessment				Mitigation strategies	Responsible	Remarks
	<b>procedures</b>	payments and recipients of OUT funds					by the university		
5.6	<b>Students' loans system</b>	Objectivity in recommending applicants for students' loans					Loans applicants to be considered by an appointed university committee	DFA, DUGS	
5.7	<b>Record keeping system</b>	<ul style="list-style-type: none"> <li>Threat of loss of documents</li> <li>Flaws in the university electronic files system</li> </ul>					<ul style="list-style-type: none"> <li>Every office to have a files / documents receipt and release register</li> <li>Regular induction and acclimatization of staff with the working of the electronic file / document movement system</li> </ul>	Management	
5.8	<b>Cash movements</b>	Possible loss of lives and funds in transit					DFA to ensure all payments are made electronically to avoid en-route interceptions	DFA	
6.0	<b>Academic</b>								
6.1	<b>Admissions</b>	Inadequate screening of applicants for admission					Admissions committee to be strengthened with clear guidelines for processing applications for admission	DUGS, DPRS	
6.2	<b>Programmes</b>	Delays in getting TCU approval of OUT programmes					All Deans, Directors and HsoD to be conversant with the TCU 19 criteria for programmes consideration for approval	Deans, Directors, HsD	
6.3	<b>Course design</b>	Non-compliance to TCU guidelines in programme designs and students and market expectations					As for 6.2 above	Deans, Directors, HsD	
6.4	<b>Development of Teaching and Materials</b>	<ul style="list-style-type: none"> <li>Inadequate response to students' and market expectations</li> <li>Inadequate staff training in learning materials development</li> </ul>					<ul style="list-style-type: none"> <li>OUT graduates' tracer studies to guide staff in reviewing and updating programmes and courses</li> <li>Staff training at Faculty levels in instructional materials development and uploading on the university website</li> </ul>	Management  Management	
6.5	<b>Dissemination of T-L -Materials</b>	<ul style="list-style-type: none"> <li>Untimely posting of teaching and learning materials on OUT website</li> <li>Poor access of OUT on the internet</li> </ul>					<ul style="list-style-type: none"> <li>Deans, Directors and HsoD to ensure timely posting of teaching and learning materials on th OUT website for students to download</li> <li>Management to liaise with the TCRA and other relevant organs to ensure effectiveness of the OUT internet connectivity</li> </ul>	Deans, Directors, HsD  Management	
6.6	<b>Course delivery systems</b>	Inadequate students' support system					Deans, Directors and HsoD to ensure effective support and advice to students during and outside the F2F sessions	Management	

SN	Risk category	Potential risk	Risk assessment			Mitigation strategies	Responsible	Remarks
6.7	<b>Student assessment system and examinations</b>	<ul style="list-style-type: none"> <li>• Lack of alternative students' assessment strategies</li> <li>• Low staff competence in test and examinations setting</li> <li>• Delayed feedback to students</li> </ul>				<ul style="list-style-type: none"> <li>• Deans, Directors and HsoD to consider alternative students' progress assessment methods to authenticate mastery of content</li> <li>• University to conduct regular (yearly) staff induction into quality test and examinations questions setting</li> <li>• Deans, Directors and HsoD to ensure efficient marking of exams and timely release of results</li> </ul>	<p>Management</p> <p>Management</p> <p>Deans, Directors, HsD</p>	
6.8	<b>Dissertations</b>	University low credibility for students' poor dissertations				Deans, Directors and HsoD to ensure appropriate induction and drilling and supervision of Masters students as they write their dissertations	Deans, Directors, HsD	
6.9	<b>Use of ICT</b>	<ul style="list-style-type: none"> <li>• Inadequate students' induction and training in ICT</li> <li>• Possible misuse and abuse of OUT internet services</li> </ul>				<ul style="list-style-type: none"> <li>• DVC RSLTs, Deans, Directors and HsoD to ensure regular (yearly) induction of new students in ICT and computer applications and operations</li> <li>• OUT policy on ICT to provide for non-abuse or misuse of OUT ICT services</li> </ul>	<p>DVC RSLTs</p> <p>Management</p>	
6.10	<b>Intellectual property</b>	Inadequate surveillance of students' and staff violation of copyright laws and regulations				Management to issue periodic reminders to students and staff on the importance of observing the copyright laws and regulations	Management	