

**DOI Form 2: Interest Risk Assessment**

Note: Prior to completing this form, please read the DOI Policy and Procedure

**In-Confidence
(When completed)**1. University Representative's Given name/s: 2. University Representative's Surname: 3. Position(s): 4. Business Unit/Service Division/School/College: 5. Supervisor's Name:

NB: If you have no clearly defined supervisor, your primary contact at the ANU is to be used.

6. What is the interest that this risk assessment is being undertaken for?

NB: Separate Risk Assessments should be created for each individual interest, except in circumstances where interests are closely aligned.



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7. What is the risk associated with the interest?

NB: If more than one risk, please complete additional forms for each risk identified. When completing this question please include:

- *Category of Risk – see list in consequences matrix at Q10; and*
- *a description of the risk*

8. What controls or arrangements are currently in place to manage the risks associated with the interest, and/or what controls or arrangements are still to be implemented, including timeframe? (The risk rating should only consider what controls are **currently** in place)

9. With the controls that are currently in place, what is the Likelihood of the risk occurring?

Likelihood		
Almost Certain (5)	Multiple over 12 months Probability: >90%	<input type="checkbox"/>
Probable(4)	Once every 12 months Probability: 61-90%	<input type="checkbox"/>
Possible (3)	Once every 1 - 5 years Probability: 21 - 60%	<input type="checkbox"/>
Unlikely (2)	Once every 5-10 years Probability: 5 - 20%	<input type="checkbox"/>
Rare (1)	Occurrence: Once every 20 years Probability: < 5%	<input type="checkbox"/>
Not Applicable		<input type="checkbox"/>

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10. What is the consequence of the risk occurring (factoring in current controls)?

NB: Consequence is simply the impact that the risk would have if it were to occur.

Consequence					
Categories of Risk	Extreme (5)	Major (4)	Modest (3)	Minimal (2)	Insignificant(1)
Reputation and Brand	<ul style="list-style-type: none"> - Reputation and standing of the University affected nationally and internationally - Serious public or media outcry (International coverage) - Reputation impacted with majority of key stakeholders - Significant breakdown in strategic and/or business partnerships - Council attention required 	<ul style="list-style-type: none"> - Embarrassment for the University, including adverse media coverage - Significant adverse public or national media coverage - Reputation impacted with a significant number of stakeholders - Breakdown in strategic and/or business partnership - VC and Executive attention required 	<ul style="list-style-type: none"> - Student and/or community concern - Heavy local media coverage - Reputation impacted with some stakeholders. 	<ul style="list-style-type: none"> - Issue raised by students and/or local press - Minor adverse local public or media attention. - Reputation affected with only a small number of stakeholders. 	<ul style="list-style-type: none"> - Little or no adverse media coverage - Issue resolved promptly by day to day management processes - Little or no stakeholder interest.
Regulatory	<ul style="list-style-type: none"> - Major systemic non-conformance (including through activities contracted or third party providers) resulting in loss of TEQSA license, other key license or accreditation. - Significant penalties or regulator sanctions. 	<ul style="list-style-type: none"> - Systemic non-conformance (including through activities contracted or third party providers) resulting in suspensions or conditional licenses. - Penalties or regulator sanctions. 	<ul style="list-style-type: none"> - Serious one off non-conformance (including through activities contracted or third party providers) resulting in suspensions or conditional licenses. - Minor or no penalties. 	<ul style="list-style-type: none"> - One off non-conformance (including through activities contracted or third party providers). - University receives warning or other notice from regulatory authority to rectify non-conformance. 	<ul style="list-style-type: none"> - Minor non-conformance (including through activities contracted or third party providers) rectified internally. - Unlikely to result in adverse regulatory response or action.
University Performance (service quality, operations, business interruption and infrastructure)	<ul style="list-style-type: none"> - Extreme event with potential to lead to failure of most objectives or collapse of part of the business. - School viability threatened by loss /lack of students or loss of a significant number of research or consultancy clients - Disruption to services causing campus closure or key business closure for > 2 weeks (check against CMT Plan) - Interruption to critical infrastructure services or operations for > 2 weeks 	<ul style="list-style-type: none"> - Major event that with prioritized and focused management, will be endured. - Service issue contributing to loss of EFSLs, course viability threatened or loss of some research and consultancy clients. - Disruption to teaching/course schedules or key business activities for > 1 week. - Interruption to critical infrastructure, services or operations for > 1 week 	<ul style="list-style-type: none"> - Significant event, which needs to be managed under special circumstances. - Service issue contributing to loss of EFSLs, or loss of research or consultancy projects. - Disruption to a number of operational areas between 2-5 days - Critical service interruption not back within the agreed timeframe 	<ul style="list-style-type: none"> - An event, the impact of which can be absorbed through management effort. - Service issue contributing to small loss of EFSLs or small loss of research or consultancy projects. - Some disruption to operational activity not exceeding 2 days - Local interruption only, service loss to localized operations 	<ul style="list-style-type: none"> - An event the impact of which can easily be absorbed through normal activity. - Repeat theme complaints at a school level and / or one or more registered formal complaints. - Disruption of < 1 day to lectures or research or other operational activity - No interruption to infrastructure services
Financial (Strategic)	Financial impact >\$50M	Financial impact >\$30M and <\$50M	Financial impact >\$10M and <\$30M	Financial impact >\$5M and <\$10M	Financial impact <\$1M
Financial (Operational)	<ul style="list-style-type: none"> > 20% deviation from approved budget for Division, College or Research School. > 50% loss of research projects 	<ul style="list-style-type: none"> 11-20% deviation from approved budget for Division, College or School. 30 - 50% loss of research projects 	<ul style="list-style-type: none"> 6-10% deviation from approved budget for Division, College or School. 10 - 29 % loss of research projects 	<ul style="list-style-type: none"> 5 % deviation from approved budget for Division, College or School. 5 - 9 % loss of research projects 	<ul style="list-style-type: none"> Less than 1% deviation from approved budget for Division, College or School. < 5% loss of research projects
Health, Wellbeing and Safety	<ul style="list-style-type: none"> - Multiple fatalities - Multiple life threatening injuries - Multiple significant/severe irreversible disability 	<ul style="list-style-type: none"> - Single fatality - Single severe irreversible disability to one or more persons 	<ul style="list-style-type: none"> -Serious, discharge of pollutant. -Source of community annoyance within general neighborhood that requires remedial action. 	<ul style="list-style-type: none"> -Short term, detrimental effect on the environment or social impact. - Minor discharge of pollutants within local neighborhood. 	<ul style="list-style-type: none"> -No lasting detrimental effect on the environment i.e. Harm, nuisance, noise, fumes, odor, dust emissions of short-term duration.



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ANU Risk Assessment Matrix:

LIKELIHOOD		IMPACT/CONSEQUENCE				
		5 Catastrophic	4 Major	3 Moderate	2 Minor	1 Insignificant
5	Almost Certain	Extreme (25)	Extreme (20)	High (15)	High (10)	Moderate (5)
4	Likely	Extreme (20)	High (16)	High (12)	Moderate (8)	Moderate (4)
3	Possible	High (15)	High (12)	Moderate (9)	Moderate (6)	Low (3)
2	Unlikely	High (10)	Moderate (8)	Moderate (6)	Low (4)	Low (2)
1	Rare	Moderate (5)	Moderate (4)	Low (3)	Low (2)	Low (1)

11. Combine the Likelihood score in Q9 with the Consequence score in Q10, and compare with the above Risk matrix. After determining the risk rating, please select the applicable risk rating in the table below.

NB: This risk rating is the 'residual risk rating' meaning that it is the risk rating obtained when a risk has been assessed having regard to all active controls within the operating environment.

Extreme	Extreme	High	High	Moderate
Extreme	High	High	Moderate	Moderate
High	High	Moderate	Moderate	Low
High	Moderate	Moderate	Low	Low
Moderate	Moderate	Low	Low	Low

12. Is there any other information pertinent to the management of this interest that needs to be included in the Interest Risk Assessment?

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13. How often will this Risk Assessment need to be reviewed? [REDACTED]

14. Please provide an estimated date of when the first review will occur: [REDACTED]

University Representative and Supervisor Agreement to Risk Assessment

The above interest and associated documentation has been discussed and where necessary, developed with the disclosing University Representative. The action taken, outlined to be taken or final rating is agreed as appropriate by the disclosing University Representative and their Supervisor to illustrate the risk posed by the interest (regardless of whether a conflict exists or not).

Name of University Representative [REDACTED]

Signature of University Representative: [REDACTED]

Date: [REDACTED]

Name of Supervisor [REDACTED]

Signature of Supervisor: [REDACTED]

Date: [REDACTED]

When finalised, this form is to be forwarded to disclosure@anu.edu.au for retention on the University's Central Interest Register, which is maintained by the Corporate Governance and Risk Office (CGRO).

A Central Interest Register ID (**CIR ID**) will be generated and forwarded back to you and your supervisor, which should be used in all further correspondence with CGRO in terms of updating information relating to your interest, whether it be a disclosure, an interest management plan or an interest risk assessment.