

# WesternERM - Risk Assessment Register

## How to approve your BU Risk Assessment Records

### User Guide for Staff

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# Key Terminology

## ❖ Risk Owner

A person or entity with the accountability and authority to manage a risk. In other words, a person whose business objectives are impacted by the risk. Generally the process or activity owner.

## ❖ Issue Owner

BU head who owns the processes or activities for which the issue has been noted.

## ❖ Action Owner

Process or activity owner responsible for taking the assigned actions. Actions Owners could sit outside the business units impacted by the risks.

- You only require 'Action Owner' details if the risk requires additional actions or treatment plan.
- Note: Only 1 Action Owner is nominated per action.

## ❖ Risk Register

A risk management tool to identify potential risks for a process, activity, event or project and put controls in place to manage the risks to the desired level (i.e. Risk Appetite).

## ❖ Risk Appetite

Is the amount of risk that an university is willing to accept, or retain in order to achieve its objectives.

## ❖ Risk Assessment

A process used to determine risk management priorities by evaluating and comparing the level of risk associated with an activity against predetermined tolerances or generally acceptable levels of risk (formulated in consultation with key stakeholders).

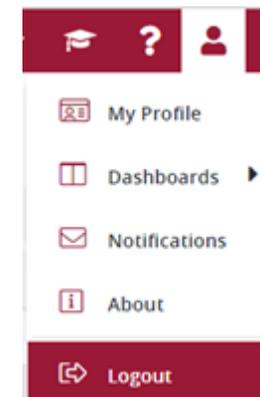
## Login to WesternERM

Please log into WesternERM using the URL <https://erm.protecht.com.au/wsus>

WesternERM uses single sign-on authentication.

For ease of access, I suggest saving this link as a bookmark in your web browser.

If you are a current user of WesternERM, please log-out using the Human icon at the top right corner and log back in.



## This is the Risk Assessment landing page.

The Business Objective library and Control Assessment library are linked to the Risk Assessment Register and are located here.

Click on the 'Risk Assessment' Register to view all risk records and 'Approve' them.

The screenshot shows the 'Risk Assessment' landing page. At the top is a dark red navigation bar with the Western Sydney University logo and several menu items: 'MY TASKS', 'SYSTEM', 'CORE LIBRARIES', 'RISK ASSESSMENT', 'ISSUES & ACTIONS', and 'MORE'. Below the navigation bar, the page title 'Risk Assessment' is displayed, followed by the instruction 'Select a register to add an entry'. To the right of the title is a search bar with a search icon, a search input field, a close button, and a dropdown menu set to 'All Fields'. Below the search bar are three tabs: 'Favorites', 'All Registers (5)', and 'Recent'. The 'All Registers (5)' tab is selected. To the right of the tabs is a 'Sort By: Name' dropdown menu. The main content area displays five register cards, each with an icon, a title, and a count of entries. The 'Risk Assessment' card is highlighted with a green border. The cards are: 'Business Objective' (128 entries), 'Control Assessment' (3112 entries), 'New Risk' (4 entries), 'Project Risk' (1 entry), and 'Risk Assessment' (645 entries).

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MY TASKS SYSTEM CORE LIBRARIES RISK ASSESSMENT ISSUES & ACTIONS MORE

### Risk Assessment

Select a register to add an entry

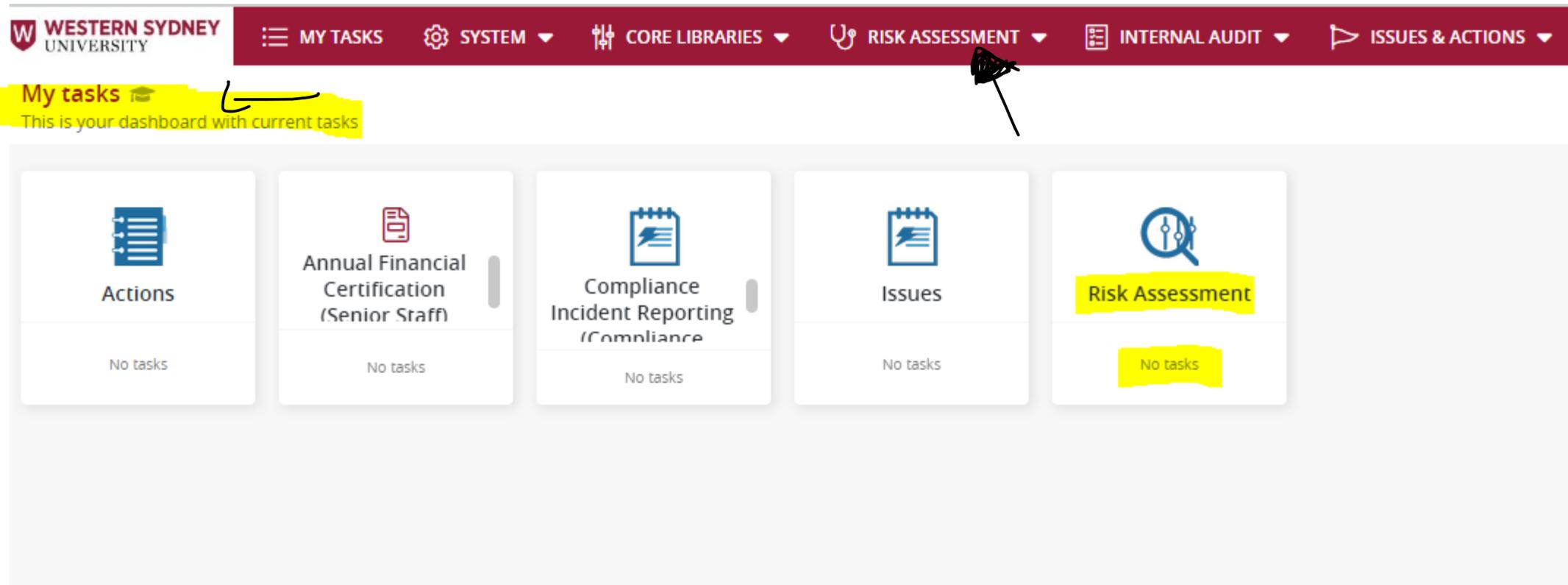
Show library registers Search All Fields

Favorites All Registers (5) Recent Sort By: Name

- Business Objective 128 entries
- Control Assessment 3112 entries
- New Risk 4 entries
- Project Risk 1 entry
- Risk Assessment 645 entries**

To approve your BU risk records, click on **'Risk Assessment'** from the menu bar, from the down arrow, click on **'Review'**.

Alternatively, you can also access the Risk Assessment register from the landing page under 'My Tasks', and click on the **Risk Assessment** button, which will show a number of outstanding tasks.



The screenshot displays the Western Sydney University dashboard. At the top is a dark red navigation bar with the university logo on the left and several menu items: 'MY TASKS', 'SYSTEM', 'CORE LIBRARIES', 'RISK ASSESSMENT', 'INTERNAL AUDIT', and 'ISSUES & ACTIONS'. A mouse cursor is pointing at the 'RISK ASSESSMENT' menu item. Below the navigation bar is a yellow highlighted box containing the text 'My tasks' and 'This is your dashboard with current tasks', with a hand-drawn arrow pointing to the 'My tasks' text. The main content area features five white task cards, each with an icon and a title. The 'Risk Assessment' card is highlighted in yellow and shows 'No tasks' below it. The other cards are 'Actions', 'Annual Financial Certification (Senior Staff)', 'Compliance Incident Reporting (Compliance)', and 'Issues', all of which also show 'No tasks'.

Task Category	Status
Actions	No tasks
Annual Financial Certification (Senior Staff)	No tasks
Compliance Incident Reporting (Compliance)	No tasks
Issues	No tasks
Risk Assessment	No tasks

In the Risk Assessment register, you will see your schools risk assessment records as follows. An example is provided for your reference. Currently most schools risk records are not yet approved by the Dean (Risk Owner), hence shows an 'Open' status in the ID field as follows:

← Risk Assessment

↑ Export ↓ Import + Create New

school of medicin School of Medicine - U40 Show Active

Bulk Operations Refresh Default

ID	Action Re...	Type of Ri...	Business Unit	Source of...	Risk Title	Controls	Impact D...	Risk Owner	Inherent ...	Inherent ...	Inherent ...	Inherent ...	Residual ...	Risk Appe...				
<b>Open</b>																		
1005687	1032197	Operatio...	School of Medicine - U40	Risk Asse...	Placements, Volunteering ...	1006362, ...	1. Studen...	Annemari...	4 - Likely	4 - Major	16	High	3 - Moder...	Moderate	4 - Likely	12		
1005689	1032214	Operatio...	School of Medicine - U40	Risk Asse...	Courses or units are not fi...	1006662, ...	1. Course...	Annemari...	4 - Likely	4 - Major	16	High	3 - Moder...	Moderate	4 - Likely	12		
1005691	1032218	Operatio...	School of Medicine - U40	Risk Asse...	Courses and Programs off...	1006722, ...	1. Create...	Annemari...	4 - Likely	5 - Catast...	20	Critical	3 - Moder...	Moderate	3 - Possible	9		
1005693	1032220	Operatio...	School of Medicine - U40	Risk Asse...	Courses and Programs off...	1006684, ...	1. Target...	Annemari...	4 - Likely	5 - Catast...	20	Critical	4 - Major	High	3 - Possible	12		
1005695		Operatio...	School of Medicine - U40	Risk Asse...	Courses do not meet the P...	1006732, ...	1. Increas...	Annemari...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4		
1005697		Operatio...	School of Medicine - U40	Risk Asse...	Student progression is not...	1006650, ...	1. Higher ...	Annemari...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4		
1005699	1035738	Operatio...	School of Medicine - U40	Risk Asse...	Inaccurate grades and aw...	1006672, ...	1. Negati...	Annemari...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4		
1005701	1035740	Operatio...	School of Medicine - U40	Risk Asse...	Assessment & exam paper...	1006840, ...	1. Studen...	Annemari...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4		
1005703	1035742	Operatio...	School of Medicine - U40	Risk Asse...	Online teaching and exam...	1006616, ...	1. The qu...	Annemari...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4		
1005705	1032223	Operatio...	School of Medicine - U40	Risk Asse...	Online teaching infrastruc...	1006640, ...	1. Poor st...	Annemari...	4 - Likely	4 - Major	16	High	4 - Major	High	3 - Possible	12		
1005707	1035744	Operatio...	School of Medicine - U40	Risk Asse...	Failure to coordinate in a t...	1006612, ...	1. School ...	Annemari...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4		
1005709	1032226	Operatio...	School of Medicine - U40	Risk Asse...	Admissions processes are ...	1006782, ...	1. Over/u...	Annemari...	4 - Likely	4 - Major	16	High	4 - Major	High	3 - Possible	12		
1005711	1032228	Operatio...	School of Medicine - U40	Risk Asse...	Lack of alignment betwee...	1006654, ...	1. Studen...	Annemari...	4 - Likely	3 - Moder...	12	Moderate	3 - Moder...	Moderate	3 - Possible	9		
1005713	1035746	Operatio...	School of Medicine - U40	Risk Asse...	Third Party Service Provid...	1006668, ...	1. Inabilit...	Annemari...	4 - Likely	3 - Moder...	12	Moderate	2 - Minor	Low	2 - Unlikely	4		
1005715	1032231	Operatio...	School of Medicine - U40	Risk Asse...	Increased Domestic Comp...	1006682, ...	1. Loss of...	Annemari...	4 - Likely	4 - Major	16	High	4 - Major	High	3 - Possible	12		
1005717		Operatio...	School of Medicine - U40	Risk Asse...	Staff Misconduct - Theft, F...	1006696, ...	1. The po...	Annemari...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4		
1005719		Operatio...	School of Medicine - U40	Risk Asse...	Unauthorized student trav...	1006678, ...	1. Funds	Annemari...	4 - Likely	3 - Moder...	12	Moderate	2 - Minor	Low	2 - Unlikely	4		

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Screenshot below shows the 'Approve' button which you need to click for each risk records.

Next Step: Open each risk one at a time and click on the 'Approve' button next to the Open button on the top left-hand corner of the page.

Please repeat this step until all your risk assessments have been approved by you (Risk Owner) in the system.

Risk Assessment > Risk Assessment > 1005687

← Entry 1005687 OPEN Approve

Reports History Calculate Cancel Saved

Main

CORE ID 1005687 Business Unit School of Medicine - U40 Last Modified by Sharan Kaur on 15/02/2023 02:58:32 pm Created by Sharan Kaur on 16/05/2022 01:09:57 pm

Risk Assessment - Risk Details

Type of Risk Assessment \* Operational Risk

Source of Risk Assessment \* Risk Assessment

Risk Title \* Placements, Volunteering & Service Learning - Work Integrated Learning and Clinical placements

Risk Owner Annemarie Hennessy

Business Unit \* School of Medicine - U40

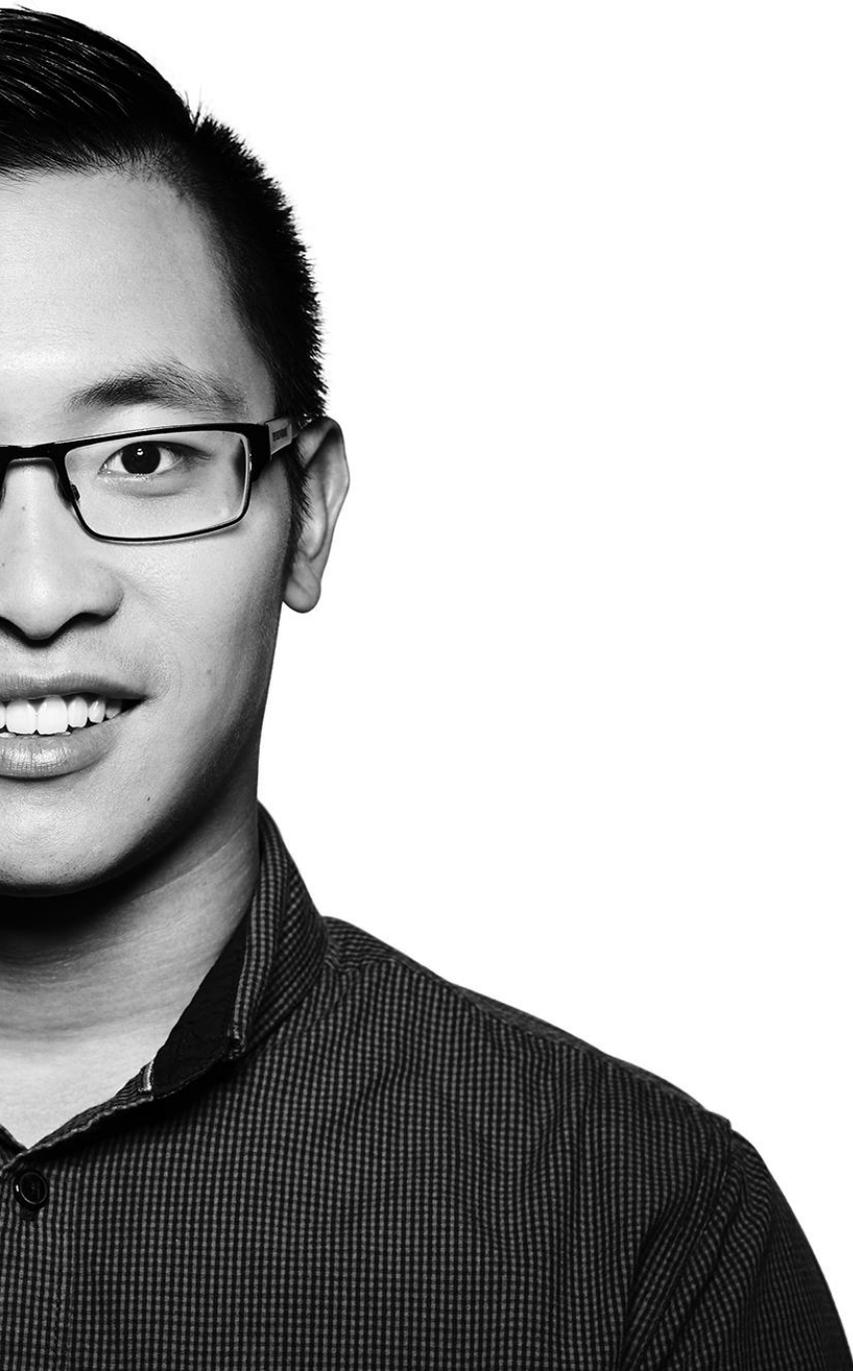
Business Objective \* Add Create New Default

Business Objectives

Ensure students are given adequate opportunities for clinical and other industry placements.

Once all risk records are approved in the system, you will notice the Open status changed to Approved as per the screenshot below. The Dean will not see an outstanding task in relation to the approval of risk records when they next open the Risk Assessment register from the 'My Tasks'.

ID	Action Re...	Type of Ri...	Business ...	Source of...	Risk Title	Controls	Impact D...	Risk Owner	Inherent ...	Inherent ...	Inherent ...	Inherent ...	Residual ...	Risk Appe...	Last Modi...				
<b>Approved</b>																			
1006568	1031042	Operatio...	School of ...	Risk Asse...	Placemen...	1002319	1. Studen...	Amir Mah...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4			08/08/20...
1006570	1032196	Operatio...	School of ...	Risk Asse...	Courses ...	1002769, ...	1. Course...	Amir Mah...	4 - Likely	4 - Major	16	High	3 - Moder...	Moderate	4 - Likely	12			13/06/20...
1006572	1032199	Operatio...	School of ...	Risk Asse...	Courses a...	1002829, ...	1. Create...	Amir Mah...	4 - Likely	5 - Catast...	20	Critical	3 - Moder...	Moderate	3 - Possible	9			20/06/20...
1006574	1032202	Operatio...	School of ...	Risk Asse...	Courses a...	1002791, ...	1. Target...	Amir Mah...	4 - Likely	5 - Catast...	20	Critical	4 - Major	High	3 - Possible	12			03/07/20...
1006576		Operatio...	School of ...	Risk Asse...	Courses ...	1002839, ...	1. Increas...	Amir Mah...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4			13/06/20...
1006578		Operatio...	School of ...	Risk Asse...	Student p...	1002757, ...	1. Higher ...	Amir Mah...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4			13/06/20...
1006580	1035798	Operatio...	School of ...	Risk Asse...	Inaccurat...	1002779, ...	1. Negati...	Amir Mah...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4			13/06/20...
1006582	1035800	Operatio...	School of ...	Risk Asse...	Assessme...	1002947, ...	1. Studen...	Amir Mah...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4			13/06/20...
1006584	1035802	Operatio...	School of ...	Risk Asse...	Online te...	1002723, ...	1. The qu...	Amir Mah...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4			13/06/20...
1006586	1032204	Operatio...	School of ...	Risk Asse...	Online te...	1002527, ...	Poor stud...	Amir Mah...	4 - Likely	4 - Major	16	High	4 - Major	High	3 - Possible	12			13/06/20...
1006588	1035804	Operatio...	School of ...	Risk Asse...	Failure to...	1002719, ...	1. School ...	Amir Mah...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4			13/06/20...
1006590	1032206	Operatio...	School of ...	Risk Asse...	Admissio...	1002889, ...	1. Over/u...	Amir Mah...	4 - Likely	4 - Major	16	High	4 - Major	High	3 - Possible	12			13/06/20...
1006592	1032208	Operatio...	School of ...	Risk Asse...	Lack of al...	1002761, ...	1. Studen...	Amir Mah...	4 - Likely	3 - Moder...	12	Moderate	3 - Moder...	Moderate	3 - Possible	9			13/06/20...
1006594	1035806	Operatio...	School of ...	Risk Asse...	Third Par...	1002775, ...	1. Inabilit...	Amir Mah...	4 - Likely	3 - Moder...	12	Moderate	2 - Minor	Low	2 - Unlikely	4			13/06/20...
1006596	1032210	Operatio...	School of ...	Risk Asse...	Increased...	1002789, ...	1. Loss of...	Amir Mah...	4 - Likely	4 - Major	16	High	4 - Major	High	3 - Possible	12			13/06/20...
1006598		Operatio...	School of ...	Risk Asse...	Staff Misc...	1002803, ...	1. The po...	Amir Mah...	4 - Likely	4 - Major	16	High	2 - Minor	Low	2 - Unlikely	4			13/06/20...
1006600		Operatio...	School of ...	Risk Asse...	Health...	1002785, ...	1. Ende...	Amir Mah...	4 - Likely	3 - Moder...	12	Moderate	2 - Minor	Low	2 - Unlikely	4			13/06/20...



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## Thank You

If you require any assistance or additional training regarding WesternERM, please contact the Office of Audit & Risk Assessment via

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