

WesternERM

Risk Assessment and Actions Tracking

User Guide for Staff

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WesternERM is used for:

- Internal Audit management
- Issues and Actions management
- Risk Management (Risk and Issues Assessment)
- Annual Financial Controls Certification
- Conflict of Interest Declaration
- Compliance Management
- University's Gift and Benefit Register

Benefits of WesternERM:

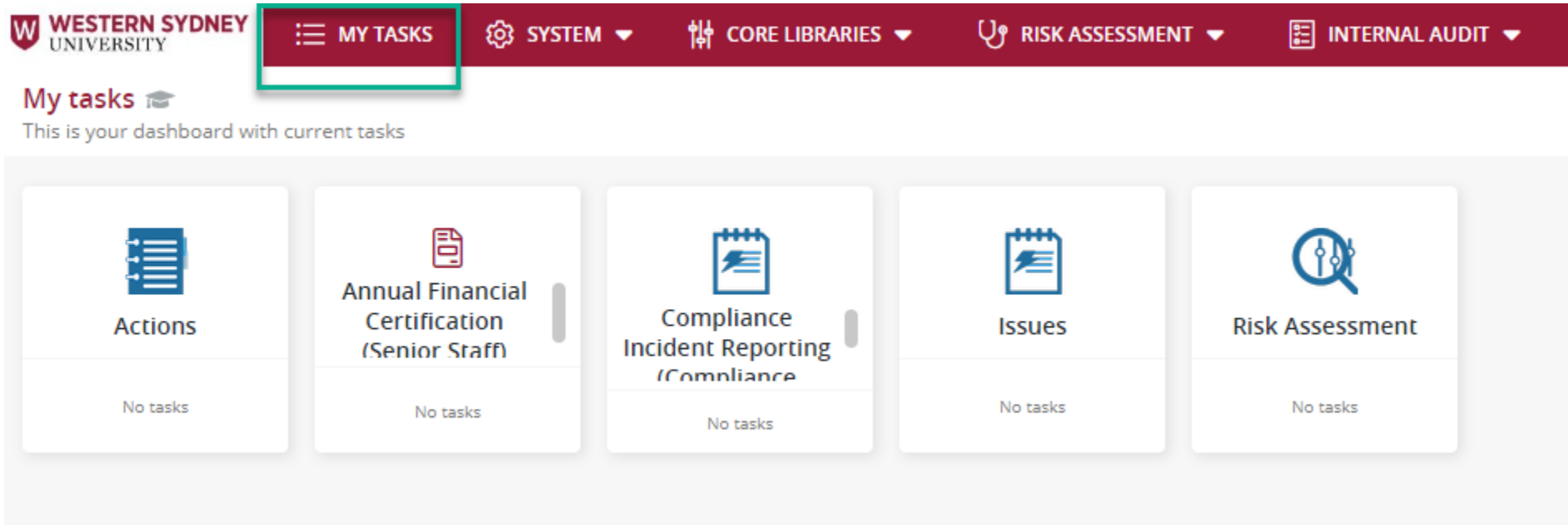
- Automated and integrated system
- Data capture, workflow and analysis
- Provides management real time oversight of their risks and issues
- Power business intelligence and dashboard reporting

Link to WesternERM system:

- <https://erm.protecht.com.au/ws/worms/client/app/widget.html?widget=Home>
- For ease of access, I suggest saving this link as a bookmark in your web browser.

My Tasks Dashboard

The 'My tasks' dashboard provides you with a view of all items that have been assigned to you that require action.



The screenshot shows the 'My Tasks' dashboard interface. At the top is a dark red navigation bar with the Western Sydney University logo on the left and several menu items: 'MY TASKS' (highlighted with a green box), 'SYSTEM', 'CORE LIBRARIES', 'RISK ASSESSMENT', and 'INTERNAL AUDIT'. Below the navigation bar, the text 'My tasks' is followed by a graduation cap icon and the subtitle 'This is your dashboard with current tasks'. The main content area features five white task cards, each with an icon, a title, and a 'No tasks' status at the bottom:

- Actions**: Represented by a list icon with arrows pointing right.
- Annual Financial Certification (Senior Staff)**: Represented by a document icon with a red border.
- Compliance Incident Reporting (Compliance)**: Represented by a notepad icon with a blue border.
- Issues**: Represented by a notepad icon with a blue border.
- Risk Assessment**: Represented by a magnifying glass icon over a notepad.

Email notifications

When a Risk is created in the Risk Assessment Register, the Risk Owner will be notified via a system notification email that the Risk has been assigned to them.

Similarly, an Action Owner will be notified when an Action has been assigned to them.

Note: An action is created when the Risk requires treatment.

Notification to **Risk Owner**:

Notification to **Action Owner**:

[External] Risk Assessment assigned to you

PA WesternERM <protecht_admin@westernsydney.ec>
To: Brian Stout Thu 18/08/2022 1:50 PM

Dear Brian Stout,

Following risk has been assigned to you for assessment:

Risk Name: Disruption caused by crisis, pandemic, natural disasters, and cyber-attack can adversely impact schools operations and continuity

Please click the button below to review the record.

Upon review, authorise the risk assessment at the bottom of the screen by ticking the "Authorisation" field and click the "Approve" button.

If you require any assistance, please reply to this email.

[Go To The Record](#)

Thank you.
Office of Audit & Risk Assessment

Attn: an action has been assigned to you.

PA WesternERM <protecht_admin@westernsydney.ec>
To: Kate Corcoran Wed 2/03/2022 11:43 AM

Dear Kate Corcoran,

The below action has been assigned to you.


Action Description: Management will review and update the Operational Risk Register, in collaboration with the Office of Audit & Risk Assessment. The register will subsequently be reviewed by management at least on an annual basis or frequently, if required. Evidence of preparer, reviewer and approval will be kept on file.


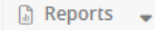
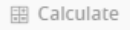
Please click on the button below to update your action:

[Go To The Record](#)

Update a risk record - Steps to take as the Risk Owner

When a Risk is assigned to a Risk Owner, they must review and authorise the risk assessment. Navigate to the bottom of the page and tick the 'Authorisation' field and click the 'Approve' button.

Entry 1034755 

Main

Residual Risk Rating *

	5	10	15	20	25	
	4	8	12	16	20	Likelihood: 5 - Almost
Impact	3	6	9	12	15	Impact: 4 - Major
	2	4	6	8	10	Rating: ● Critical
	1	2	3	4	5	Total Score: 20
	Likelihood					

Rationale for Residual Assessment

Treatment Plan (Additional Mitigations)


1. If the Residual Risk Rating is above our threshold of acceptance, please click "Treat" to create a Treatment Plan.
2. Once the Treatment Plan has been completed, please re-assess the Treated Risk Rating.
3. If the Residual Risk Rating is below our threshold of acceptance, please click "Accept" and add Commentary.

Accept or Treat?

Accept Treat

Risk Appetite

Residual Risk Trend

Authorisation 

The Office of Audit and Risk Assessment will then receive a notification email advising the business owner has reviewed, authorised and approved the risk assessment.

Note: The Risk Owner - A person whose business objectives are impacted by the risk. Generally the process or activity owner.

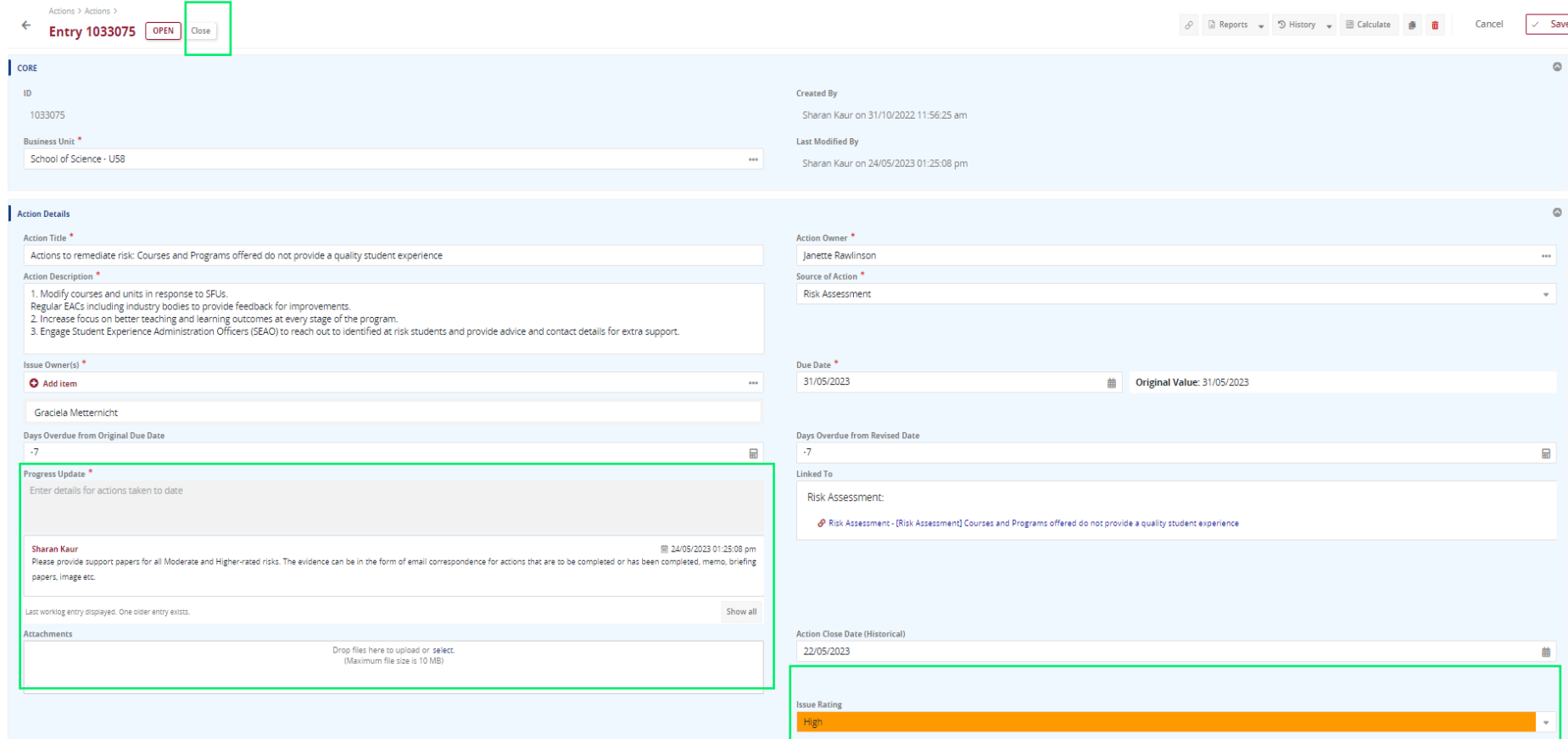
Hence the Risk Owner may receive multiple notification emails from WesternERM requesting they review and authorise all risks for their BU.

Update an action - Steps to take as an Action Owner

1. Open the action from your email notification or via the main menu:
 - a. From the Actions menu, select Actions Review.
 - b. Click on the Actions register tile to open it.
 - c. Double-click on the entry to open it.

If you choose the email notification link, it will take you to the 'Action' that requires your attention.

2. Review and make any changes.
3. If you have made changes, add a comment in the "Progress Update" field in the action record. Action Owners must **provide evidence** of appropriate closure of their actions has been taken to treat the risk. Evidence can be in form of memos, briefing paper to the committees, email correspondence, or image etc.
4. Click **Save** after progress update has been added to a action record. (**This is with a view that further updates will be provided as work progresses since the task/action is not yet complete**).
5. When action is **complete**, please close the action by clicking the '**Close**' button at the top right-hand corner of the screen.



Actions > Actions > Entry 1033075 **OPEN** **Close** Reports History Calculate Cancel **Save**

CORE

ID: 1033075
Business Unit: School of Science - US8

Created By: Sharan Kaur on 31/10/2022 11:56:25 am
Last Modified By: Sharan Kaur on 24/05/2023 01:25:08 pm

Action Details

Action Title: Actions to remediate risk: Courses and Programs offered do not provide a quality student experience

Action Description: 1. Modify courses and units in response to SFUs. Regular EACs including industry bodies to provide feedback for improvements. 2. Increase focus on better teaching and learning outcomes at every stage of the program. 3. Engage Student Experience Administration Officers (SEAO) to reach out to identified at risk students and provide advice and contact details for extra support.

Issue Owner(s): Graciela Metternicht

Days Overdue from Original Due Date: -7

Days Overdue from Revised Date: -7

Linked To: Risk Assessment - (Risk Assessment) Courses and Programs offered do not provide a quality student experience

Action Close Date (Historical): 22/05/2023

Issue Rating: High

Progress Update

Enter details for actions taken to date

Sharan Kaur, 24/05/2023 01:25:08 pm
Please provide support papers for all Moderate and Higher-rated risks. The evidence can be in the form of email correspondence for actions that are to be completed or has been completed, memo, briefing papers, image etc.

Last working entry displayed. One older entry exists. Show all

Attachments: Drop files here to upload or select. (Maximum file size is 10 MB)

Important

Action owner must attach support papers, evidence for all risk with residual risk rating of 'Moderate and higher'. The Risk or Issue rating is noted at the bottom right of this page.

After the progress update is provided with the aim to close this action, instead of Save, please click on the 'Close' button on the top left hand corner of this page.

Notification to the Risk Owner of Closure of the Action

When the Action is '**Closed**', the Risk Owner receive a notification email, requesting them to 'Go To The Record' to review the update and the supporting evidence provided, to determine whether the Action has been closed appropriately.

[External] Action 1010516 has been closed



WesternERM <protecht_admin@westernsydney.edu.au>

To



12/08/2022

Dear Risk Owner

Please be advised that Action - Develop a process to enable collection of the related information close to the time of the event for use in FBT reconciliations, has been closed now.

Please click the button below to view this Action.

[Go To The Record](#)

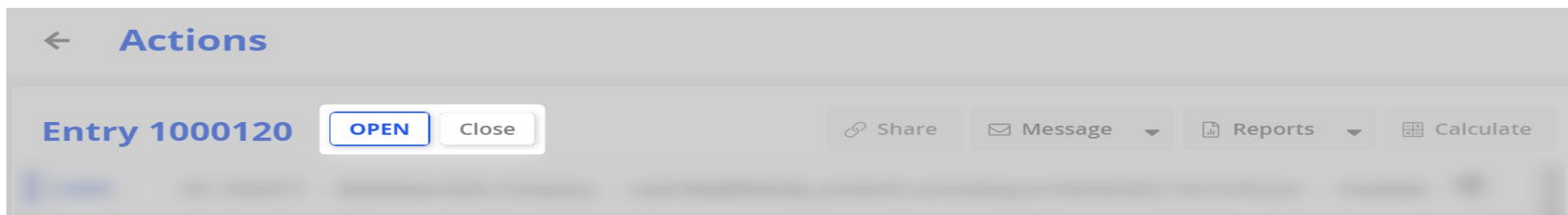
Thank you.

Name of Action Owner

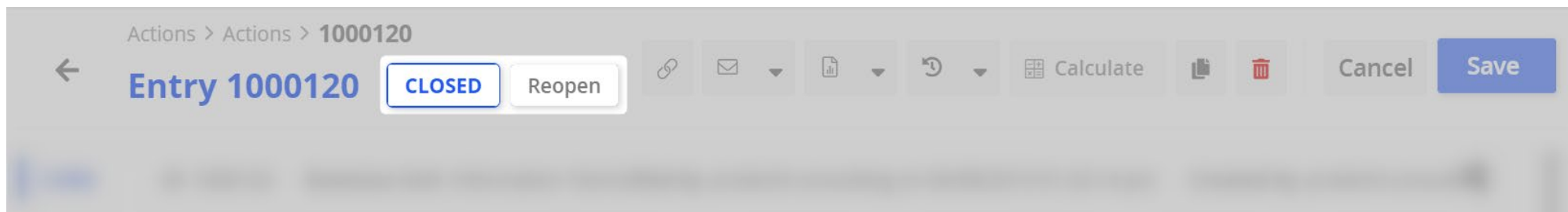
Change the status of an action

The status of an action is the current stage (such as Open, Closed, or Under Review) of the action. To change the action's status, click the available transition button (such as Close, Submit, or Re-open). To change the status of an action:

1. From the **Actions** menu, select **Actions Review**.
1. Click on the actions register tile.
2. Double-click on the action to open it. The status of the action is displayed at the top of the form. In the example below the action is Open, and a button is available to Close the action.



To move the action to the next status, click **Close**. The status changes to Closed. The transition available from this state is Reopen.





Thank You



If you require any assistance or additional training to use WesternERM, please contact the Office of Audit & Risk Assessment via ARA@westernsydney.edu.au

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