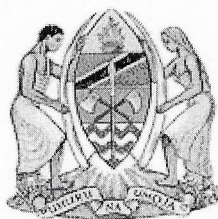


**THE UNITED REPUBLIC OF TANZANIA**  
**MINISTRY OF COMMUNITY DEVELOPMENT, GENDER, WOMEN AND SPECIAL  
GROUPS**



**INSTITUTE OF SOCIAL WORK**



**RISK MANAGEMENT POLICY**

**AUGUST, 2022**

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## CONTENTS

LIST OF ABBREVIATIONS.....	ii
DEFINITION OF TERMS .....	iii
FOREWORD .....	v
<b>EXECUTIVE SUMMARY</b> .....	vi
CHAPTER ONE.....	1
BACKGROUND, VISION, MISSION AND RATIONALE .....	1
1.1 Background Information .....	1
1.2 Vision.....	1
1.3 Mission .....	1
1.4 Objectives of ISW .....	1
CHAPTER TWO.....	3
SITUATIONAL ANALYSIS .....	3
2.1 Rationale of the Risk Management Policy .....	3
2.3 Scope.....	4
2.4 Situational analysis.....	4
CHAPTER THREE .....	5
POLICY ISSUES, STATEMENTS AND STRATEGIES .....	5
3.0 Overview. ....	5
3.1 Teaching, Research and Consultancy. ....	5
3.2 Resource Mobilization and Management .....	6
3.3 Information and Communication Technology.....	8
CHAPTER FOUR .....	9
RISK APPETITE STATEMENTS.....	9
4.1 Purpose .....	9
4.2 Risk-Appetite Methodology .....	9
4.3 Risk Appetite Statement .....	9
CHAPTER FIVE.....	14
OPERATIONALIZATION AND PERIODIC REVIEW.....	14
5.1 Operationalization.....	14
5.2 Periodic review .....	14
Appendix .....	15

## LIST OF ABBREVIATIONS

ERM	Enterprise Risk Management
ICT	Information and Communication Technology
ISW	Institute of Social Work
NACTVET	National Council for Technical and Vocational Education and Training
RMF	Risk Management Framework
RMP	Risk Management Policy
TCU	Tanzania Commission for Universities
HR	Human Resource



## DEFINITION OF TERMS

<b>Risk</b>	The possibility that an action or event will adversely or beneficially affect an organization's ability to achieve its objectives.
<b>Risk Management</b>	Systematic application of management policies, practices and procedures to the task of analyzing, assessing, treating, monitoring & reporting on risks.
<b>Risk Owner</b>	A person who is responsible for the risk and its mitigation. For the case of ISW, risk owner are heads of department and units.
<b>Likelihood</b>	The chance/probability of something happening.
<b>Impact</b>	The consequences/damage/ loss, caused by the happening of the risk event.
<b>Risk Register</b>	A list of identified and evaluated risks by outlining their likelihood and impact, showing the actions to be taken to mitigate the potential impact (i.e. reducing the risk to the acceptable level).
<b>Risk Appetite</b>	An expression of how much risk an organization is prepared to take.
<b>Risk Status</b>	Assessment of the risk's seriousness based on probability of the risk actually arising; and the impact on the organization if a risk does actually arise.
<b>Residual Risks</b>	Risk status after mitigation control.
<b>Risk Rating</b>	Are calculated by multiplying the likelihood score by the impact score.
<b>Risk register</b>	A document which enables tracking and monitoring of all registered risks. Registered risks are identified, assessed and monitored to ensure achievement of Institute objectives.
<b>Board</b>	Refers to the Board of ISW.
<b>Fiduciary Risk</b>	Refers to events or circumstances that could potentially result in fraud, waste, loss, or unauthorized use of



Institute's funds, property, or other assets. It also refers to conflicts of interest that could adversely affect the accountability of funds.

<b>Reputational Risk</b>	Refers to events or circumstances that could potentially improve or compromise ones standing or credibility with the public.
<b>Compliance Risk</b>	Refers to events or circumstances that could potentially improve or compromise compliance with law, regulation, Executive Order, or any other legal requirement.
<b>HR Risks</b>	Refers to events or circumstances that could potentially improve or compromise the capacity, productivity, well-being, hiring, or retention of employees.
<b>ICT Risk</b>	Refers to events or circumstances that could improve or compromise the processing, security, stability, capacity, performance, or resilience of information and communication technology.
<b>Quality Risk</b>	Refers to events or circumstances that could or compromise quality of services provided.

## FOREWORD

Preparation of the “Risk Management Policy” is the ISW’s Management and Board of Governors deliberate effort towards realization of the Institute’s objectives as stipulated in the fifth (5<sup>th</sup>) Strategic Plan 2021/22 – 2025/26. The vision of the Institute is to become a leading provider of high quality training, research and consultancy services in Social Work and related fields responsive to societal and global needs. Since risks affects achievement of objectives, the Institute has prepared this policy to guide through the process of risk management.

The risk management policy defines the Institute’s risk appetite and levels of risk tolerance in various functional departments/units. Generally, the ISW has low risk appetite with regards to any potential threats that may hamper its capacity to deliver quality services to its customers and community at large. The risk appetite in this document is defined under six categories which are fiduciary, reputational, compliance, human resource, Information technology and Quality.

I wish to extend my sincere gratitude to all those who in one way or the other contributed to the formulation of the policy. I would also like to request the ISW Management, staff, students and other stakeholders to generously extend their material and moral support in the implementation of the policy. Effective implementation of the risk policy will ultimately lead to the achievement of the Institutes strategic objectives stipulated in its Strategic Plan 2021/22 – 2025/26.

  
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**Dr. Joyce Nyoni**  
**RECTOR**

## **EXECUTIVE SUMMARY**

The Institute of Social Work (ISW) was established by Act No. 26 of 1973 as amended by the Written Laws (Miscellaneous Amendments) Act No. 3 of 2002 herein referred to as the Act. It runs academic programs in Social Work, Human Resource Management, Labour Relations and Public Management, Business Administration and, Community Work with Children and the Youth. ISW produces graduates at all levels from Basic Technician Certificate to Master degrees. The Institute was established to also conduct research and consultancies among other activities. To effectively and efficiently execute its mandate the Institute needs a risk policy that shall guide in managing the risks that may affect its strategic objectives.

The risk management policy document contains the policy issues, statements, strategies and operational procedures which will guide the ISW on risk management. The policy focus areas are Teaching, Research and Consultancy, Resource Mobilization and Management, Information and Communication Technology and Safe and Secure Environment. The policy shall apply to all functional departments/units of the Institute, students and other stakeholders. In addition, the policy presents the Institutes risk appetite.



## **CHAPTER ONE**

### **BACKGROUND, VISION, MISSION AND RATIONALE**

#### **1.1 Background Information**

The Institute of Social Work (ISW) is a Tanzanian higher learning institution that was established by the National Social Welfare Training Institute Act No. 26 of 1973 (as amended by the Miscellaneous Act No.3 of 2002) herein referred to as the Act. Currently, the Institute is under the Ministry of Community Development, Gender, Women and Special Groups. The Institute was established for the purpose of providing training, research and consultancy activities in the field of Social Work, Community Development and other related fields. ISW currently offers training, consultancy, and outreach services in the areas of Social Work, Human Resource Management, Business Administration, Labour Relations and Public Management.

The essence of developing this risk management policy is to guide the ISW on how to manage risk in its core function areas (Teaching, Research and Consultancy). These functional areas depend on other ISW activities such as Planning, Finance, Procurement, Administration and Auditing. However, risk can have both negative and positive outcomes the purpose of the policy is to enable ISW manage the adverse effects and ensure the Institute's core functions are not hampered in any way.

#### **1.2 Vision**

The ISW vision is 'To become the leading provider of high quality training, research and consultancy services in social work, all responsive to societal and global needs'.

#### **1.3 Mission**

The ISW mission is 'To continuously transform individuals' and community's life by conducting high quality training programmes, research and consultancy that lead to socio-economic development of the country'.

#### **1.4 Objectives of ISW**

The major objectives of the Institute as stipulated in the Establishment Act are to:

- i) Provide facilities for the study of, and for training in, the principles, procedures and techniques of community development and social welfare and such other related subjects as the Institutes Board may decide.

- ii) Conduct training programs leading to professional qualifications in generic and multi-functional social welfare practice and development and such other related subjects as the Institutes Board may decide.
- iii) Stimulate and promote the pursuit by students of specialized and higher professional courses of study in social work in accordance with national policies and development requirements.
- iv) Inculcate a sense of public responsibility in the students and to prepare them to work with the people of Tanzania for the benefit of the nation.
- v) Co-operate with the Government of the United Republic of Tanzania and other persons or organizations in carrying out any of the purposes for which the institute is established.
- vi) Sponsor, arrange and provide facilities for conferences and seminars for discussion of matters relating to welfare and social development.
- vii) Conduct examinations and to grant diplomas, certificates and other awards of the Institute.
- viii) Arrange for the publication and general dissemination of materials produced in connection with the work and activities of the Institute.



## **CHAPTER TWO SITUATIONAL ANALYSIS**

### **2.1 Rationale of the Risk Management Policy**

Risk management is the fundamental and essential aspect towards the achievement of the Institute's Vision and Mission. The Risk Management Policy forms part of ISW's governance and control arrangements. The purpose of the risk management policy is to describe the context for risk management as an overall system of internal controls and arrangements for periodic review. It supports in anticipating, assessing and managing risks timely and making risk-informed decisions. Furthermore, the Institute Risk Management Policy integrates with the Risk Management Framework (RMF) and shows the selected key areas of the Institute Risk Management Policy (RMP) which are Policy objectives, Policy statements and Policy principles. An integration of RMP with RMF is to enhance the effective and efficient management of risks such as coordination of risks management initiatives at the Institute.

### **2.2 Objectives of the Risk Policy**

#### **2.2.1 General Objective**

The policy intends to ensure the Institute's risks are managed effectively and efficiently and that quality services are rendered to our clients.

#### **2.2.2 Specific Objectives**

Specifically, the policy aims to ensure:

- i. quality teaching and learning environment for all students;
- ii. quality research and publications;
- iii. effective and efficient use of financial, human and physical resources;
- iv. compliance with various authorities such as NACTVET, TCU and PPRA;
- v. effective and efficient delivery of ISW services;
- vi. safety and security of students, staff and other stakeholders.



### **2.3 Scope**

The risk management policy shall apply to all risk areas identified at the Institute of Social Work at the main and Kisangara campuses and any other campus that shall be established. It states guiding principles and issues and the relevant appetite in all functional areas. The aspect of risk management is mainstreamed into all departments and units which are critical in the assessment, analysis and review of risk documents.

### **2.4 Situational analysis**

The government in addressing the need for its Institutions to attain set objectives, it issued directives for preparation of risk management framework, policies and register in 2012. The Institute has adhered to the directives through preparing risk management framework and risk register. In addition, it has prepared the risk management policy in order to address various issues that affect the Institute's business processes such as cyber-crime, misappropriation of public funds, corruption, systems failures and internet outages.

Furthermore, ISW functional areas of academic, research, consultancy, procurement, planning, human resource management, financial management, estate and other are susceptible to various risks that can affect negatively the ability of the Institute to attain its intended objectives. The risks that can affect the Institute can either be strategic, financial, compliance and operational. The Institute has 33 risks registered in its risk register and the risk treatment plan in the financial year 2022/23 has been prepared to ensure close monitoring of the proposed control measures to ensure achievement of objective of the Institute stated in its Strategic Plan (2021/22 – 2025/26). The stated risks cover all objectives of the Institute and all departments/units. Review of the register is done annually in order to ensure that the register is updated in line with the Institute's changing risk profile. The risk management policy will aid the Institute enforce implementation of risk treatment plan and risk management framework.

## CHAPTER THREE

### POLICY ISSUES, STATEMENTS AND STRATEGIES

#### 3.0 Overview.

The chapter presents policy issues, statement and strategies. These policy issues are derived from the Institute main functional areas. The policy's objectives mainly focus on how the institute can maximize opportunities and minimize potential risks to achieve its strategic objectives.

#### 3.1 Teaching, Research and Consultancy.

**Issue 1:** Low quality of teaching and learning resources which may lead to regulatory bodies (NACTVET&TCU) deregistering the Institute or banning some of the programs

#### Policy Statements:

The Institute shall; -

- i. Comply with the NACTVET and TCU teaching and learning guidelines;
- ii. Conduct training, research and consultancies as stipulated in its Establishment Act and National guidelines as directed by COSTECH, NIMRI and other governing authorities;
- iii. Ensure quality, teaching, learning and research undertakings.

#### Strategies:

The Institute shall ensure that:

- i. Adequate teaching and learning equipment's are provided to lecturers;
- ii. Students at all levels are encouraged to engage in academic activities of the Institute.
- i. Comply with the Institute's guidelines for quality teaching and learning;
- ii. There are effective monitoring and evaluation mechanisms to quality teaching and learning environment.
- iii. All academic programmes reviewed as per NACTVET/TCU standards and stakeholders are involved in order to ensure demand driven academic programmes;
- iv. Admission of students is done as per guidelines and requirements;
- v. There are capacity building programs on competence based teaching methods.



## **Issue 2: Low quality Research and publication**

### **Policy Statements:**

The Institute shall; -

- i. Comply with the Institute's research and Publication policy;
- ii. Comply with plagiarism policy;
- iii. Promote academic staff based on research and publications.

### **Strategies:**

The Institute shall ensure that:

- i. Capacity building on research and publication are conducted;
- ii. Funds for research and publication is allocated in each financial year;
- iii. Staff are motivated in conducting research and publications activities;
- iv. Staff and students are encouraged to publish in quality peer reviewed journals.

## **Issue 3: Inadequate short courses and consultancy activities**

### **Policy Statements:**

The Institute shall comply with the Institute training and consultancy policy;

### **Strategies:**

The Institute shall ensure:

- i. Increased number of short courses and it has a training calendar each year;
- ii. Funds are allocated for bidding and capacity building for consultancies;
- iii. All consultancies conducted by the Institute staff shall use ISW name.

## **3.2 Resource Mobilization and Management**

### **Issue 1: Loss of funds**

### **Policy Statements:**

The institute shall; -

- i. Deliver value for money, high quality services and facilities;
- ii. Adhere to financial regulations and auditing principles and regulations;
- iii. Comply with policies, laws and regulations on procurement management issued by regulatory authorities.

### **Strategies:**



The Institute shall ensure that: -

- i. There is value for money in its projects;
- ii. Financial statements are prepared based on national and international standards;
- iii. There is a proper use of accounting systems;
- iv. There is Capacity building on users of the system;
- v. Plans and budgets are prepared in a participatory manner;
- vi. Contract management plan in place and progress reports are submitted to the Management.
- vii. Monitoring performance and compliance in procurement are enhanced.

## **Issue 2: Inadequate and unhealthy workforce**

### **Policy Statements:**

#### **The institute shall;**

- i. Comply with the Institute scheme of service;
- ii. Strengthen the Institute's staff development and recruitment policy;
- iii. Reduce staff turnover through human resource planning and retention;
- iv. Adhere to Public services management circulars, schemes and regulations;
- v. Comply with occupational health and safety Act.

### **Strategies:**

The Institute shall ensure that:

- i. Capacity building programs are facilitated in order to equip staff with required skills and knowledge;
- ii. Motivate staff to stay at the Institute;
- iii. Funds are allocated in recruitment, training and motivation of staff;
- iv. Training needs assessment is conducted before facilitating both short and long term training;
- v. Identify staff gaps and seek recruitment permit from the President's Office Public Service Management and Good Governance.
- vi. Facilitate physical exercises to ensure a healthy workforce;
- vii. Staff are healthy through periodic checkups on non-communicable diseases;
- viii. Working environment is safe, secure and friendly to everyone.

### **3.3 Information and Communication Technology**

#### **Issue 2: Information and Communication outage**

##### **Policy Statements:**

##### **The institute shall;**

- i. Comply with eGA Regulations;
- ii. Adhere to the Institute's ICT policy;
- iii. Adhere to relevant acts and regulations for example Tanzania's 2019 cybercrime act.

##### **Strategies:**

##### **The Institute shall ensure that:**

- i. There is capacity building of ICT personnel;
- ii. Cyber-attack/hacking is prevented;
- iii. Break down of ICT infrastructures is prevented through regular maintenance;
- iv. Sufficient funds are allocated for ICT infrastructure.

## CHAPTER FOUR

### RISK APPETITE STATEMENT

#### 4.1 Purpose

The purpose of the Risk Appetite Statement is to provide the ISW staff with a broad-based guidance on the amount and type of risk it is willing to accept based on an evaluation of opportunities and threats at the Institute level, and in key risk categories to achieve its mission and objectives.

The Statement is a critical component in the Institute's overall effort to achieve effective Enterprise Risk Management (ERM). The Institute will review and update it annually as the ERM program matures.

#### 4.2 Risk-Appetite Methodology

The Statement places each category of risk on a risk-appetite scale that ranges from "low", "medium" to "high":

**Low Risk Appetite** – Areas in which the Institute avoids risk, or acts to minimize or eliminate the likelihood that the risk will occur, because the Institute has determined the potential downside costs are intolerable. These are areas in which the Institute typically seeks to maintain a very strong control environment.

**Medium Risk Appetite** – Areas in which the Institute must constantly strike a balance between the potential upside benefits and potential downside costs of a given decision.

**High Risk Appetite** – Areas in which the Institute has a preference for disciplined risk-taking because the Institute has determined the potential upside benefits outweigh the potential costs.

#### 4.3 Risk Appetite Statement

The Institute risk appetite statement is categorized into six categories which are fiduciary, reputational, legal/compliance, human resource, Information technology and Quality. The overall risk appetite for the stated risk areas are as stipulated in the Table below



**Table 1 Overall risk appetite statement**

<b>RISK CATEGORY</b>	<b>OVERALL RISK APPETITE</b>
<b>Fiduciary</b>	<b>LOW</b>
<b>Reputational</b>	<b>LOW</b>
<b>Legal/Compliance</b>	<b>LOW</b>
<b>Human Resource</b>	<b>MEDIUM</b>
<b>Information Technology</b>	<b>MEDIUM</b>
<b>Quality</b>	<b>LOW</b>

#### **4.3.1 Fiduciary Risk**

##### **Overall Risk Appetite: LOW**

The Institute has LOW risk appetite with regard to:

Non-compliance with financial reporting, payment mechanisms, financial-systems requirements, internal controls and audit-management. The Institute will continually act to address any weaknesses in the control environment that could result in fraud, corruption, diversion of resources, or statutory violations.

Violations of codes of conduct that involve sexual exploitation or abuse and expose partners or the Institute to financial or reputational loss. The Institute will hold staff to the highest possible ethical standards, and expect them to protect the interests of students and other stakeholders.

#### **4.3.2 Reputational Risk**

##### **Overall Risk Appetite: LOW**

The Institute has LOW risk appetite with regard to:

Deficiencies in enforcement of ethical standards. The Institute will hold staff and partners to the highest level of ethical and professional standards, and address any weaknesses in enforcement of rules of ethical professional conduct, including with regard to sexual exploitation and abuse.

The Institute has LOW risk appetite with regard to:

Traditional press outreach and social media. The Institute will leverage outreach through traditional press and social media to promote and amplify the goals and results of the Institute. However, the Institute must balance this outreach with the risks inherent in these activities, such as messages re-posted by outside groups or taken out of context.

The Institute has **HIGH risk appetite** with regard to:

Promoting a culture of research and publication. The Institute will incentivize and foster a culture of research and publication to enable continuous improvement and enhance its credibility. This will mean at times identifying mistakes or errors that could affect the Institute's reputation.

#### **4.3.3 Legal/Compliance Risk**

##### **Overall Risk Appetite: LOW**

The Institute has LOW risk appetite with regard to:

Non-compliance with legal and regulatory requirements. The Institute will mitigate any weaknesses in processes, procedures, or gaps in staff knowledge that could result in legal risk to the Institute, or otherwise compromise adherence to the law.

Acting without consultation with the Institute's Legal Unit, the Institute will consult with its Legal Unit to mitigate the potential for misinterpretation of legal requirements that could result in a loss to the Institute, or compromise adherence to the law.

Meritorious bid protests or labour, employment, or contract claims. The Institute will mitigate any deficiencies in processes or procedures that could increase the likelihood of a sustained bid protest or meritorious labour, employment, or contract claim.

The Institute has MEDIUM risk appetite with regard to:

Areas either not covered by the law or reasonably open to interpretation. In consultation with its Legal Unit, the Institute will at times assume a degree of calculated risk to implement innovative solutions that could help achieve strategic objectives.



#### **4.3.4 Human Resource Risk**

##### **Overall Risk Appetite: MEDIUM**

The Institute has LOW risk appetite with regard to:

Non-compliance with human-resource laws, regulations, and directives. The Institute will act to minimize any weaknesses in compliance with legal requirements that could impair the Institutes' ability to hire, train, assess, or reward employees consistently and fairly, or which could put the Institute at risk for unfavorable legal outcomes.

Weaknesses in workforce-planning systems across all hiring categories. The Institute will mitigate any weaknesses in workforce-planning systems that could undermine the Institute's ability to align its current needs and priorities with its workforce under the Transformation and ensure it will have the essential staff levels and skill mixes needed to carry out future programs amidst an uncertain environment.

Gaps in skills and capacity. The Institute will work to mitigate any deficiencies in training programs that could impair the effectiveness of employees.

Weaknesses in the processes for recruiting, selecting, hiring, onboarding, evaluating, and promoting staff. The Institute will work to minimize weaknesses in hiring processes that could inhibit the Institute's agility and responsiveness, cause frustration among candidates, or result in the Agency's losing highly-qualified candidates. The Institute will also work to reward excellence, deal swiftly and appropriately with poor performance, and create rigorous processes for evaluating the performance of, and promoting, employees.

Bullying, abuse and sexual harassment in the workplace. The Institute will continue to enforce a zero-tolerance approach to abusive and harassing behaviour among staff.

The Institute has HIGH risk appetite with regard to:

Adopting innovative best practices. The Institute will continually assess best practices in the Higher Learning Institutions and Government for attracting, retaining, and developing talent, including seeking flexibilities for hiring and compensating staff.



#### **4.3.5 Information and Communication Technology Risk**

##### **Overall Risk Appetite: MEDIUM**

The Institute has LOW risk appetite with regard to:

The weaknesses in technology, and the transmission, processing, security, stability, capacity, or performance of data. The Institute will promptly act to minimize any weaknesses that could disrupt core Institutes business operations, slow productivity, heighten the risk of fraud, or threaten the security of information. The Institute will work to avoid unplanned downtime that could result in lost productivity or costs to recover data.

The Institute has MEDIUM risk appetite with regard to:

Cloud computing. The Institute will continue to harness the power of cloud computing to lower Institute costs, improve reliability, and increase accessibility across the globe, while balancing the risks associated with working with third-party service providers.

The Institute has HIGH risk appetite with regard to:

Adoption of new technologies or platforms. The Institute will harness the potential of new technologies to improve efficiency and productivity, while recognizing the potential for change-management challenges, time or cost overruns, and the need to harmonize digital innovation with programmatic policy.

#### **4.3.6 Quality Risk**

##### **Overall Risk Appetite: LOW**

The Institute has LOW risk appetite with regard to:

Weaknesses in issues that compromise quality of programmes. The Institute will continue to conduct research, market surveys and tracer studies to ensure improvement of programmes to ensure are in line with demand of the market.

The weaknesses in teaching and handling of examination activities. The Institute will continue to improve competence in teaching and handling of students' examinations.

## **CHAPTER FIVE**

### **OPERATIONALIZATION AND PERIODIC REVIEW**

#### **5.1 Operationalization**

Operationalization of the risk management policy shall be supported by the risk management framework. The Institute Risk Management Framework defines roles and responsibilities of each player in Risk Management. Key players in Risk Management at the Institute are the Board of Governors, Audit Committee, Rector, Head of Directorates, Heads of Department/Units, Risk Champions and all staff.

The Institute will monitor the risks identified in the risk register; especially those with a “High” risk score and shall be included in the internal audit plan (see Appendix). Internal Audit shall audit processes and functions of the Institute according to the plan and issue periodic reports. Risk Management Coordinator shall compile risk reports from Departments/Units that will be submitted to the audit committee of the Board of Governors quarterly.

#### **5.2 Periodic review**

The Board of Governors shall periodically review its risk management policy, risk appetite and effectiveness of internal control systems. In doing so the Board shall consider the following: -

- Review of the previous risks reports and examine the Institute’s track record on risk management;
- Whether the Institute has made the right decisions on risks that are value enhancing and value protecting;
- Internal and external risk profiles of the coming year;
- Whether the current internal control arrangements are likely to be effective.
- Prioritization of risks;
- Timely identification and assessment of risks;
- The ability of Institute to learn from its problems and apply its learning.



## Assessing Risks

- Most relevant authorities on risk management advocate two main parameters for assessing risks. The parameters are:  
Likelihood, i.e. how likely is it to happen  
Impact, i.e. how significant might the consequences be
- These almost always focus on risk mitigation and management of the possible/likely “downsides” rather than of the possible/likely “upsides” although the idea of focusing resources on the riskiest can apply to risks to be embraced as well as those to be managed/mitigated.
- The Institute will use a traffic light system as illustrated below to assess risk.

Risk status (Impact x Likelihood)	Color	Meaning and Response Required
1, 2	Green	<b>Low concern;</b> occasional monitoring. Tolerate; continue with existing measures and review annually.
3,4,5	Yellow	<b>Moderate concern;</b> steady improvement needed. Possibly review biannually
6,7,8,9	Red	<b>Very serious concern;</b> highest priority. Take immediate action and review regularly.