

### 13.4 Annexure 4: NWU Risk Register as noted by the ARCC in August 2020

\*Arranged in order of residual risk rating

| Risk No | Risk Owner | Risk Name                           | Risk Description                                                                                                                                                                              | Inherent    |            |              | Inherent Rating | Residual Rating | Current Controls                                                                                                                                                                                                                                                                                                                                                   |
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|         |            |                                     |                                                                                                                                                                                               | Impact      | Likelihood | Exposure     |                 |                 |                                                                                                                                                                                                                                                                                                                                                                    |
| 42      | DVC IT     | Cyber Security                      | Cyber security is not adequately addressed at the NWU and is the number one IT issue worldwide. An attack on the NWU is likely. Digital transformation will increase the cyber security risk. | Severe      | Likely     | R0           | 20              | 16              | Cyber incident and execution management system; * Cyber security strategy; * Business process: Using the best in class Firewall solution; * Audit plan executed annually by Internal Audit which covers the risk; * Institution-wide use of network access control; * Penetration testing (internal and external); * Awareness campaigns across NWU about the risk |
| 43      | DVC IT     | Digital Business Strategy           | Digital transformation will have a severe impact on operational models, structures, people, processes and roles.                                                                              | Significant | Certain    | R0           | 15              | 14              | Enterprise-wide Digital Business Strategy for the NWU as part of the strategic positioning of the NWU                                                                                                                                                                                                                                                              |
| 40      | UMC        | Environmental Management            | The lack of focus and clarity in regard to the placement, functioning and monitoring of environmental management at the NWU poses a risk to sustainability and compliance.                    | Critical    | Likely     | R10 000 000  | 16              | 13              | Audit plan executed annually by Internal Audit which covers the risk; * Awareness campaigns across NWU about the risk                                                                                                                                                                                                                                              |
| 18      | Registrar  | Information governance, BCP and DRP | Inadequacies around a focused approach on information governance, disaster recovery and business continuity could hamper the NWU's operations                                                 | Critical    | Likely     | R0           | 16              | 13              | BCP and Contingency planning in place at execution of key processes e.g. registration etc; * Implementation of a Digital Business Strategy                                                                                                                                                                                                                         |
| 45      | ExDir FF   | COVID-19 financial impact           | Large number of additional expenses as well as reduced income levels brought about by complying with the lockdown and the accompanied regulations.                                            | Severe      | Certain    | R322 676 000 | 25              | 13              | Financial Impact Model with all the mitigation plans included                                                                                                                                                                                                                                                                                                      |

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|    |                                                       |                           | Increase in outstanding debt due to parents not being able to pay / refuse to pay since it is not business as usual.                                                                                                                 |             |          |              |    |    |                                                                                                                                                                                                                                             |
| 9  | DVC RI                                                | Research                  | Decline in research funding and research, and possibility of inadequate quality of research products.                                                                                                                                | Significant | Certain  | R200 000 000 | 15 | 12 | NWU budgetary process to focus on sustaining and enhancing the research function                                                                                                                                                            |
| 37 | ExDir: Finance and Facilities                         | Fee regulation            | Insecurities regarding the proposed fee regulation model leading to uncertainty around sustainability                                                                                                                                | Critical    | Certain  | R28 000 000  | 20 | 10 | USAF fee regulation task team in which the ExDir FF is a member; * Initiatives in regard to fundraising and endowment to ensure new sustainable source of income                                                                            |
| 28 | Registrar; Ex.Dir.P &C; DVC Integr Plannin g; DVC R&I | Business processes        | Academic project in jeopardy because of ineffectiveness and inefficiencies of support functions, possibly leading to loss of income and potential growth, loss of staff and negative impact on reputation and on ranking of the NWU. | Critical    | Likely   | R0           | 16 | 8  | Participation of NWU in ratings and rankings process by means of clear focus and strategy and with bespoke data.                                                                                                                            |
| 8  | DVC RI. ExDir CRM                                     | Internationalisation      | Global engagement/internationalisation effort not sufficient with the effect that the NWU has little international exposure in terms of attracting international staff, students, investment and sponsoring of research.             | Critical    | Likely   | R0           | 16 | 8  | Internationalisation Policy; * Business process established to ensure a well-organised process in place in regard to cooperative agreements by the DVC R&I                                                                                  |
| 3  | DVC R&I, ExDir FF                                     | PG Students               | Poor financial support to PG students resulting in loss of student income and continuity from UG to PG. Furthermore postgraduate numbers' dependency on bursaries                                                                    | Significant | Possible | R0           | 9  | 7  | Post-graduate funding model where merit bonuses are available for qualifying students who received NSFAS funding during UG studies.; * Strategic funds are made available for PG bursaries for only a small number of potential candidates. |
| 24 | DVC IT; UMC                                           | IT Support and Innovation | IT provisioning for certain admin and academic functions not optimal; indications exist that                                                                                                                                         | Significant | Possible | R0           | 9  | 7  | Staff: Focus on retention strategies; * Implementation of a Digital Business Strategy; * Project by IT to modernise learning spaces                                                                                                         |

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|    |                                                                               |                            | individual IT staff are overburdened due to inadequate human resources in IT; uncertainties evident about direction in regard to digitised business strategy leading to delays in new system design and implementation |             |          |    |   |   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 30 | ExDir<br>FF;<br>DVC<br>Integr<br>Plannin<br>g; DVC<br>TL                      | Infrastructure             | Loss of opportunity income, subsidy and loss of return, loss of students and staff and compromise in teaching quality due to limited and inadequate infrastructure planning for teaching                               | Significant | Possible | R0 | 9 | 7 | Guidelines: Enrolment plan (2020-2025) developed and approved; * Strategic Intelligence committee aims at redesigning the system to ensure effective use of infrastructure; * Institutional Budget Committee makes provision for infrastructure planning in budgeting planning.; * Space management project established to optimise governance and management of space across NWU (teaching spaces and non-teaching spaces)                                                                        |
| 36 | ExDir:<br>Student<br>Life,<br>DVC<br>Campus<br>Operati<br>ons,<br>ExDir<br>FF | Campus and<br>Safety       | Student safety on and off-campus at risk due to escalation in criminal activities on and around campus.                                                                                                                | Significant | Possible | R0 | 9 | 7 | Well-described process to deal with any instances of crime as establishment of Joint Operating Teams including SAPS, liaison with Public Order Policing and Intelligence Services; * Protection services at all campuses operating in accordance with pre-determined SOPs; * Awareness campaigns across NWU about the risk; * All campuses are access controlled; * Cachet Park City Improvement District Non Profit Company (Cachet Park CID NPC) and rolling out of initiative to other campuses |
| 44 | DVC<br>TL;<br>Registra<br>r                                                   | No SAQA ID<br>registration | NWU qualification without SAQA IDS will lead to graduates in those qualifications not being captured on the NLRD.                                                                                                      | Significant | Possible | R0 | 9 | 7 | USAF fee regulation task team in which the ExDir FF is a member; * Initiatives in regard to fundraising and endowment to ensure new sustainable source of income                                                                                                                                                                                                                                                                                                                                   |

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| 6  | ExDir P&C; All line managers; ExDir CRM; ExDeans | Diversity                 | Insufficient levels of diversity in staff and student environment                                                                                                                                                                             | Significant | Likely   | R0 | 12 | 6 | Well-defined recruitment and admission process in place; * Provision for a scarce-skill allowance; * Business process: EE targets built into the performance agreements of SMC members and is measured as part of the performance evaluation process.; * Staff: Focus on retention strategies; * EESDF meets 4x per annum to monitor the effectiveness of implementation. ; * Policies and Rules: Clear position profiles for senior management indicating roles and responsibilities; * Targeted enrolment as per agreed-upon diversity targets; * Employment Equity Policy |
| 11 | DVC TL                                           | Technology Based Learning | Apparent unpreparedness for functioning in blended-learning environment, exacerbated by the perception that technology does not support the Teaching-Learning effort in an optimal way, leading to missed opportunities for blended learning. | Critical    | Possible | R0 | 12 | 6 | Induction programme on blended teaching offered by CTL; * NWU Teaching-Learning and Assessment policy guides the implementation of a blended model aimed at enhancing access and success                                                                                                                                                                                                                                                                                                                                                                                     |
| 16 | Registrar; ExDir FF                              | Fraud                     | The risk that fraudulent activities could be prevalent in some business process environments and could impact negatively on the reputation of the NWU.                                                                                        | Critical    | Possible | R0 | 12 | 6 | KFS process to detect and prevent transactions between NWU and staff; * Reporting to and oversight of the ARCC which covers the risk; * Awareness campaigns across NWU about the risk; * Policy and Rules on conflict of interest and on declaration of Interest and gifts                                                                                                                                                                                                                                                                                                   |
| 20 | ExDir SL; Campus DVCs; DVC IT                    | Standardising             | Varied student experiences across campuses might lead to dissatisfaction because of the possible negative effect of 'standardising' student life across campuses and the management of student life in new structure.                         | Significant | Likely   | R0 | 12 | 6 | Student satisfaction survey done annually. ; * IT service equally shared and aligned.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |

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| 27 | ExDir: Student Life                                                       | Student experience               | Inadequate measures to create a welcoming student environment at the NWU    | Significant | Likely | R0          | 12 | 6 | Awareness campaigns across NWU about the risk; * Thoughts and complaints line. Inclusive planning process takes place with all the stakeholders. Planning includes feedback from the Thoughts and Complaints line process.; * Defined process to appoint and train house parents; * Aligned R&O programme across all 3 campuses                                                                                                               |
| 29 | ExDir P&C                                                                 | Staff                            | Absenteeism and loss of valuable staff due to low staff morale              | Significant | Likely | R25 331 618 | 12 | 6 | IRR guidelines strictly applied for the purpose of addressing disparities.; * Positions on P7 and below advertised internally first to provide growth opportunities for staff within the NWU                                                                                                                                                                                                                                                  |
| 33 | Chief Director: TTIS, Directors of Companies, Shareholder Representatives | Commercialisation                | Failure of licensee or spin-out to commercialise                            | Minor       | Likely | R0          | 8  | 6 | Building optimal relationships with funders; facilitating start-up capital by TTIS                                                                                                                                                                                                                                                                                                                                                            |
| 35 | ExDir: Student Life, DVC: Campus Operations                               | Sexual and Gender based violence | Presence and escalation in sexual and gender-based violence on the campuses | Significant | Likely | R0          | 12 | 6 | Awareness campaigns across NWU about the risk; * Protection services at all campuses operating in accordance with pre-determined SOPs; * All campuses are access controlled; * Well-described process to deal with any instances of crime as establishment of Joint Operating Teams including SAPS, liaison with Public Order Policing and Intelligence Services; * Awareness and training programmes on LGBTQ+ and other human rights issues |

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| 41 | ExDir<br>P&C;<br>DVC<br>TL;<br>DVC<br>R&I;<br>ExDeans | Staff              | Lack of competitive salaries in the academic environment might lead to exodus of talent                                                                    | Significant | Likely   | R0 | 12 | 6 | IRR guidelines strictly applied for the purpose of addressing disparities.; * Provision for a scarce-skill allowance; * Guidelines: Clear promotion criteria for academic employees; * Private Work Policy; * Differentiated COLA for academic staff                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 4  | VC,<br>UMC<br>Members                                 | Business Model     | Poor implementation of the unitary business model resulting in silo functioning, ineffectiveness and inefficiencies.                                       | Minor       | Likely   | R0 | 8  | 4 | Implementation of the organisational structure. Adaption of systems to structure, Joint accountability and individual responsibility clarified and implemented.; * Individual executive performance agreements contain KPI's on the implementation of the business model that are measured; * Policies and Rules: Clear position profiles for senior management indicating roles and responsibilities; * Statute, policies and procedures in place, implemented and monitored. ; * CMC meetings established to ensure proper handshaking between Campus DVC role fulfilment and brown-line responsibilities of functional owners; * Regular reporting to UMC. (UMC sits every month) |
| 13 | DVC TL<br>and<br>ExDeans                              | Student Throughput | Decline in student throughput and student success due to external factors such as NSFAS rules, lack of focus of student-support services and other factors | Significant | Certain  | R0 | 15 | 4 | Admission tests and placement tests are performed to guide admission into qualifications and allocation of students to second and third choices if admission requirements to preferred choice have not been met; * Measuring tools in place to trace and track student success; * Faculty plans in place to enhance and manage student throughput.; * Offering of supplemental instruction (SI) interventions, group and individual tutorial interventions and one on one student support walk in services. Each faculty has student advisors(usually honours or master students who mentor junior students.                                                                         |
| 14 | DVC<br>TL;<br>ExDeans;<br>Registrar                   | Programme Offering | Slow external approval process of qualifications/programmes leading to loss-of-opportunities and possible irrelevance of NWU programme offering.           | Significant | Possible | R0 | 9  | 5 | External (HEQC) and internal (Q and APP) workshops                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |

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| 17 | Registrar                                                             | Academic Integrity | Inconsistent application of the NWU Policy on Academic Integrity resulting in negative impact on the reputation of the University, the issuing of penalties, revoking of qualifications and loss of income from subsidised publications. | Significant | Possible | R3 000 000   | 9 | 5 | Audit plan executed annually by Internal Audit which covers the risk; * Policy and Rules on Academic Integrity; * In student environment, the Writing Laboratories across campuses and the Student Judicial Office collaborate in regard of all cases related to transgressions pertaining academic integrity matters |
| 26 | DVC Integrated Planning; Registrar, DVC IT, DVC TL, DVC R&I, ExDir FF | Business Processes | Loss of students and student income due to the processes and systems that drive the core business being inadequate.                                                                                                                      | Significant | Possible | R100 000 000 | 9 | 5 | BCP and Contingency planning in place at execution of key processes e.g. registration etc; * Implementation of a Digital Business Strategy                                                                                                                                                                            |
| 31 | VC, ExDir FF, UMC                                                     | Compliance         | Loss of lives, financial losses and closure of business due to non-compliance to health and safety laws.                                                                                                                                 | Critical    | Unlikely | R100 000     | 8 | 4 | Continuous OHS training and monitoring per schedule and budget. Departmental Health and Safety reps. Health and safety appointments such as 16(2)'s.; * NWU OHS management system implemented; * Continuous OHS training and monitoring per schedule and budget; * Awareness campaigns across NWU about the risk      |
| 34 | ExDir: Student Life                                                   | Student Leadership | Inadequacies in student leadership skills leading to possible human rights and other values infringements presenting a student offering no longer desired by students                                                                    | Significant | Possible | R0           | 9 | 5 | Awareness and training programmes on LGBTQ+ and other human rights issues; * Leadership coaching and mentoring programme implemented; * Continuous process of review and measurement to gauge the student offering and its acceptance among the student body                                                          |

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| 38 | DVC: TL                                    | Business Model            | Uncertainties in regard to the language plan implementation in the unitary model could lead to disruption                                                                                                    | Significant | Possible | R0          | 9  | 5 | Faculty language plans, CRM language plan and SL plans approved; * Leadership coaching and mentoring programme implemented; * Monitoring and evaluation of implementation in place by Senate Committee.; * SLPs on multi lingual pedagogies developed for offering to academic staff.                                                                                                              |
| 12 | DVC Integrated Planning                    | Enrolment                 | Over and under enrolment resulting in financial losses                                                                                                                                                       | Significant | Likely   | R49 000 000 | 12 | 3 | Guidelines: Enrolment plan (2020-2025) developed and approved; * Well-defined recruitment and admission process in place                                                                                                                                                                                                                                                                           |
| 19 | ExDir Student Life; Campus DVCs; Registrar | Protest                   | Possibility of student protests/unrest on campuses disrupting academic activity and endangering staff and student safety.                                                                                    | Minor       | Possible | R50 000 000 | 6  | 3 | Well-described process to deal with any instances of crime as establishment of Joint Operating Teams including SAPS, liaison with Public Order Policing and Intelligence Services; * Protection services at all campuses operating in accordance with pre-determined SOPs; * Policy and Rules on Gatherings ; * Emergency contingency plans in place. ; * Continuous engagement with stakeholders. |
| 22 | ExDir CRM                                  | Market place Expectations | Reputational risk if the public and stakeholders do not perceive the university as having shared values, conduct and practices. Negative perception of university offering could result in financial losses. | Significant | Likely   | R0          | 12 | 3 | The marketing strategy promoting multi lingualism; * The recruitment strategy currently focuses on quality of TL delivery; * Message to stakeholders focuses on the delivery of the promise of academic excellence and overtly moving away from any notion related to "campus niche".                                                                                                              |
| 25 | Registrar; DVC TL                          | Commercialisation         | Commercialisation risks - offering of non-compliant SLPs; income not coming to NWU                                                                                                                           | Significant | Likely   | R0          | 12 | 3 | Oversight body established since 2014 to guide the approval process.; * Establishment of UCE with a clear mandate to work proactively towards income stream 3 to add value.                                                                                                                                                                                                                        |
| 32 | DVC RI; Chief Director: TTIS               | Commercialisation         | Missing out on commercialisation opportunities                                                                                                                                                               | Minor       | Possible | R0          | 6  | 3 | Continuous engage with potential funders to understand funding criteria; * Recruit additional senior commercialisation specialists                                                                                                                                                                                                                                                                 |

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| 39 | Vice-Chancellor                               | Staff                     | Key person dependencies leading to loss of institutional knowledge and create vacuums in key functional areas                                                                                                           | Minor       | Possible | R0             | 6 | 3 | Leadership coaching and mentoring programme implemented                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 1  | ExDir:FF, Director: Business Development; UMC | Funding                   | Government funding model is not sustainable, the HE sector is not sufficiently informed, also the impact is not known, exacerbated by an over-dependence on a single source of income (government subsidies and NSFAS). | Critical    | Unlikely | R2 200 000 000 | 8 | 2 | Building available reserves by ExDir FF and financial team to cover one year of operational expenses.; * Building optimal relationships with funders; facilitating start-up capital by TTIS; * Undertaking initiatives with regard to fundraising and endowment to ensure new sustainable source of income                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 2  | ExDir FF                                      | Student Debt              | Increase in student debt as a result of non-paying culture, exacerbated by uncertainties on the sustainability of the NSFAS model                                                                                       | Significant | Possible | R500 000 000   | 9 | 2 | Careful implementation of Financial Rules guidelines; * Business process: Consistent information-sharing and communication on NSFAS processes by Student Finance Department to NWU student population; * Building available reserves by ExDir FF and financial team to cover one year of operational expenses.; * Building optimal relationships with funders; facilitating start-up capital by TTIS; * Undertaking initiatives with regard to fundraising and endowment to ensure new sustainable source of income; * Process in place by Student Finance dept. to follow-up on student debt matters, such as ongoing communication with students; pre-registration finance committee structures at respective campuses, various options to students to pre-agree on settlement of debt. |
| 5  | Ex. Dir. P&C                                  | Staff                     | Difficulty to recruit and retain qualified and talented staff due to challenges in staff morale due to change and uncertainties and perceived non-implementation of retention strategies.                               | Minor       | Likely   | R0             | 8 | 2 | Provision for a scarce-skill allowance; * Guidelines: Succession Planning Framework; * Establishment of a talent management programme; * Communication of a clear employee value proposition; * Well-defined recruitment and admission process in place                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 7  | DVC TL                                        | Market place Expectations | Perceived inability to meet market-place expectations in that graduates do not find employment quickly enough.                                                                                                          | Minor       | Possible | R0             | 6 | 2 | Participation of NWU in ratings and rankings process by means of clear focus and strategy and with bespoke data.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |

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| 10 | DVC<br>TL;<br>Executive Deans                                                            | School<br>Leavers     | Standards gap between basic and tertiary education leading to ill preparedness of school leavers for tertiary education                                                   | Significant | Possible | R120 000 000 | 9 | 2 | Admission tests and placement tests are performed to guide admission into qualifications and allocation of students to second and third choices if admission requirements to preferred choice have not been met; * Faculty plans in place to enhance and manage student throughput.; * Offering of supplemental instruction (SI) interventions, group and individual tutorial interventions and one on one student support walk in services. Each faculty has student advisors(usually honours or master students who mentor junior students.; * Offering of Academic Literacy module that runs over the whole first year including components of reading, writing and basic computer literacy; also providing guidance in terms of learning strategies.; * Allocation of student to second and third choices if admission requirements to preferred choice have not been met; * Offering of bridging courses to augment skills of university entrants |
| 15 | Registrar                                                                                | Compliance            | Financial losses, possible imprisonment and penalties due to lack of compliance to legislation, statutory requirements, licenses and other legal requirements.            | Significant | Possible | R0           | 9 | 2 | Systematic annual review process implemented involving all owners of legislation with the aim to complete compliance checklists, draft improvement plans that are, in turn, monitored by management and governance structures; * Audit plan executed annually by Internal Audit which covers the risk; * Reporting to and oversight of the ARCC which covers the risk; * Reporting to and oversight of the Compliance Committee which covers the risk; * Risk and Compliance Policy                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 21 | DVC<br>TL;<br>DVC<br>R&I;<br>DVC<br>Integrated<br>Planning;<br>ExDir<br>FF;<br>Registrar | Programme<br>Offering | Possibility that UG and PG academic offering and services related to offering are not responsive, price appropriate and that the quality is not of the required standard. | Significant | Possible | R0           | 9 | 2 | National Doctoral Review project to provide insight into possible deficiencies of effectiveness and efficiency.; * Executing a PQM audit over the next three years ; * Executing a situational analysis for new products before development.; * Rigorous planning process in place for new academic offerings, after the completion of the HEQSF process.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |

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| 23 | DVC IT | DRP | Possible inadequate Disaster Recovery Plan within IT could halt the operations of the NWU | Critical | Rare | R0 | 4 | 1 | Monitoring of machine rooms; * Disaster Recovery Plan; * Replicated site on campus |
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