Policy risk assessment checklist

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| In line with the [Policy Framework](https://www.uts.edu.au/about/uts-governance/policies/uts-policy/policy-framework), this risk assessment checklist must be used by policy owners as part of the policy review or development process. The following questions must be considered to assess the strategic importance of the policy, its risk for the university and/or how it supports UTS’s compliance activities.For each question you must provide details on:* how the policy will support the particular UTS activity or process
* how you will address any risk and/or compliance activity, and
* who you will work with to address any risk and/or compliance activity (for example, the Office of General Counsel for question 7).

If the question doesn’t apply, put ‘NA’ and provide a reason in the details field.These questions are guided by the [Risk Management Policy](https://www.uts.edu.au/about/uts-governance/policies/uts-policy/risk-management-policy) and [Risk Management Procedure](https://studentutsedu.sharepoint.com/sites/Corporate-governance/SitePages/Risk-Management-Procedure.aspx) (SharePoint).  |

### Name of policy:

### Policy owner:

### Date:

|  |  |  |
| --- | --- | --- |
| Does the policy: | Yes | N/A |
| 1. support the delivery of the UTS 2027 strategy?

Details:       | [ ]  | [ ]  |
| 1. support the delivery of the divisional or UTS corporate plan?

Details:       | [ ]  | [ ]  |
| 1. manage fraud and corruption risks or conflicts of interest?

Details:       | [ ]  | [ ]  |
| 1. support UTS’s responsible financial management or budgetary checks and balances?

Details:        | [ ]  | [ ]  |
| 1. support a safe and healthy workplace (physical and/or mental)?

Details:       | [ ]  | [ ]  |
| 1. cover a topic or area subject to internal and external audit reviews in this calendar year?

Details:        | [ ]  | [ ]  |
| 1. support compliance with the university’s legal obligations?

Details:       | [ ]  | [ ]  |
| 1. support the delivery of UTS research or courses?

Details:       | [ ]  | [ ]  |
| 1. enable UTS to take opportunities while managing risk?

Details:       | [ ]  | [ ]  |
| 1. support the delivery of significant project/s?

Details:       | [ ]  | [ ]  |
| 1. align with any current or future training?

Details:       | [ ]  | [ ]  |
| Has the policy | Yes | N/A |
| 1. been reviewed or updated (and when)? You may provide this information in the policy itself.

Details:       | [ ]  | [ ]  |
| 1. been effective in supporting UTS activities?

Details:       | [ ]  | [ ]  |
| 1. resulted in operational or functional issues or errors since the last review?

Details:       | [ ]  | [ ]  |
| 1. provided the appropriate guidance to the relevant audiences in a clear manner?

Details:       | [ ]  | [ ]  |
| 1. been reviewed to ensure it does not conflict with any existing policy or process and/or that it does not duplicate any existing policy or process? Please contact GSU for guidance.

Details:       | [ ]  | [ ]  |
| 1. been breached?

Details:       | [ ]  | [ ]  |
| Have there been external influences that have impacted the policy, such as: | Yes | N/A |
| 1. legislative changes or developments?

Details:       | [ ]  | [ ]  |
| 1. sector developments?

Details:       | [ ]  | [ ]  |
| 1. social developments (for example evolution of appropriate language and terminology, social expectations, protest or social movements)?

Details:       | [ ]  | [ ]  |
| 1. emerging technologies?

Details:       | [ ]  | [ ]  |