



MASENO UNIVERSITY

RISK REGISTER

Risk Table

Probability

1	5	10	15	20	25
2	4	8	12	16	20
3	3	6	9	12	15
4	2	4	6	8	10
5	1	2	3	4	5
	1	2	3	4	5

Impact

RISK DESCRIPTION	IMPACT DESCRIPTION	IMPACT LEVEL	PROBABILITY LEVEL	PRIORITY LEVEL	CONTROLS AND MIGITATION	RISK OWNER
Brief summary of the Risk	What will happen if the risk is not mitigated or eliminated	Rate 1(Low) 5(HIGH)	Rate 1(Low) 5(HIGH)	Impact (Probability) Address High Line		
1. FINANCIAL RISKS						

i. Budget						
Over estimation of votes heads (During budgeting some of the vote head may be inflated)	It may lead to over purchase of items in the vote head wastage	5	2	10	Development of realistic budget based on preceding actual	Budget Officer
Over commitment of vote head (This is where the commitment leave the balance of the vote to be negative)	It may affect the liquidity of the Institution	4	2	8	All approval must be accompanied by extract of approved budget on the respective item	Approving officers
ii. Imprests						
unsurrendered Imprest(where staff take imprest for official but never retire)	Misuse of University funds	5	3	15	Account for imprest within seven days after return from the journey or expenditure.	Imprest Officer
iii. Creditors						
Payment of unsupplied good (This is where payment were made and goods not supplied)	Loss of funds	5	2	10	Verification of necessary document before payment	In charge creditors
Creating more than one account for the same supplier (this is where a supplier has more than one account in the record)	it can lead to double payment	5	3	15	Ensure one account per supplier	In charge creditors

iv. Student Finance						
Misposting of students ledger (Incorrect posting in the student ledger)	Loss of funds	4	3	12	Host to host connectivity	In charge Student finance
v. Revenue						
Holding large volume of cash (This is where the cashier hold large amount of cash at the cash office which may increase possibility of fraud)	Loss of cash at cash office	5	5	25	-Daily banking -Encourage use of bank account payment.	Cashier
Security of cash in transits (Moving large volume of cash from or to the bank may increase the possibility of robbery)	Loss of cash during transits	5	5	25	Daily banking and insurance of cash on transits. -Use of interbank funds transfer.	cashier and management
vi. Payroll						
Salary related anomalies -Payment of staff while on leave of absence, unpaid leave. -Addition of non -existent staff to payroll. -payment of staff who have existed employment. Payment of allowances to non -deserving staff.	Loss of finances	5	2	15	-Automation of payroll system to integrated employees exit so that payment to departing employees cease on their departure. -Preparation of monthly payroll analysis. -undertake recovery of irregular earnings from affected staff.	HR

					-Routinely review and test data controls and perform regular checks to confirm user input.	
2.OPERATIONAL RISK						
I. Academics						
Misplacing and loosing students files	Lack of proper students records	3	1	3	-Using a file movement register to manage students files in registry.	SAR(Admissions)
Admitting students without paying application fees	Loss of revenue	5	1	5	-Confirmation of application fee before application form is processed	SAR(Admission)
Delayed in processing students admission letters.	Loosing students to other institutions	3	1	3	-Fast tracking of application forms and issuance of admission letters.	SAR(Admissions)
Cheating in examinations	Incredible examinations results	5	3	15	-Mechanism to ensure no cheating in examinations e.g. CCTV installations. -Circular highlighting consequences of exams cheating. -Firm application of examination rules and regulations.	SAR(Examinations)
Selling examination papers to students	Incredible examinations	5	1	5	-Vetting of officers handling examinations.	SAR(Examinations)

					- Installation of CCTV cameras in examination printing room.	
Allowing unauthorized persons in examinations printing room.	It increase chances of examinations leakage	5	1	5	-Security officer to man the examinations room. -Post notices that bars entry of unauthorized persons into examinations printing room.	SAR(Examinations)
Failure to shred waste examinations papers and disposing them off carelessly.	It increases chances of examinations papers landing in wrong hands which may heighten chances of exams leakage.	5	1	5	-Ensuring all waste examinations papers are shredded immediately.	SAR(Examinations)
Processing of un-moderated examinations.	Accepting to process un – moderated examinations	5	1	5	- All un-moderated exams to be referred to DVC (ASA) for appropriate action. -A form to be developed for external examiners to sign	SAR(Examinations)
Forgery of examination cards by students.	University risk revenue loose from non-fee payment.	5	3	15	- Invigilators to be more vigilant and report any case to office of registrar Academics. - Students involved to appear in student Disciplinary committee for appropriate action.	SAR(Examinations)

Printing of extra transcript without payments.	University risk loss of revenue for nonpayment of extra transcript.	5	1	5	<ul style="list-style-type: none"> - All students to provide a receipt payment for extra transcript. - Form be developed for students to apply for transcripts. -maintain transcript insurance register for ease reference. 	SAR (Examinations).
Timetabling	Clashes of venue and courses on timetable	3	3	9	-Keeping of records of available lecture halls and size and liaising with lectures for exact number of students per course and number of courses and allocate accordingly.	Deputy Registrar ASA.
Storage and issuance of gowns	Loss of gowns and destruction by ants which could lead to high cost repair and purchase of new ones.	2	2	4	<ul style="list-style-type: none"> - Introduction of charges of Kshs 500 per day for delayed return of gowns. - Getting spacious storage with hangers. 	Deputy Registrar ASA.
Record keeping	Loss of records /misplacement	2	2	4	-Introducing a register for gown movement.	Deputy Registrar ASA.
Academic curriculum	Having obsolete curriculum and delayed review of curriculum may lead to inadequate coverage of	2	2	4	<ul style="list-style-type: none"> - Developing of curriculum review across university after every four years. -Monitoring lecture attendance and evaluating then. 	Deputy Registrar ASA.

	syllabus and use of outdated curriculum.				-Doing follow ups to ensure compliance.	
Preparation of Graduation list.	Chances of having students with resists and fee balances on graduation list.	2	2	4	- Providing timely graduation list schedules. - Vetting students graduation list by relevant school Deans and Senate.	Deputy Registrar Academics.
Academic curriculum.	-Having obsolete curriculum and delayed review of curriculum may lead to inadequate coverage of syllabus and use of outdated curriculum.	2	2	4	-Developing schedule of curriculum review across university after every four years. -Monitoring lecture attendance and evaluating them. -Doing follow up to ensure compliance.	Deputy Registrar ASA.
II. Health services department						
Inappropriate/prolonged waiting time by patients	Medical attention delayed with adverse effects to patient.	3	1	3	-Enhanced supervision of staff and timely production of duty rosters	COD Section heads.
Inappropriate triage process for patient on arrival	Missed opportunity to detect emergency case hence delayed medical attention	4	2	8	-Constant supervision of staff. Regular clinical meeting to review the performance.	Chairman of Department.

Misdiagnosis or error making diagnosis for patients.	Issuance of wrong or delayed treatment to client	5	1	5	-Heightening of supervision. Clinical review meetings	S.C.O COD.
Prescription errors to patients	Dosing error ,adverse reactions or wrong methods of drug administration	5	1	5	-Regular training through continuous professional Development for updates	COD
Data privacy breaches due to unauthorized access.	Abuse of confidential information leading to litigation	4	3	12	-Heightened controls though use of password and limitation of individual rights in clinic software.	ICT Administrator
Multifunctional of clinic software due to power outage	In ability to access electronic records of patients	5	1	5	-Provision of alternative power source and UPS for every computer	ICT Director
Non -adherence to infections prevention protocols.	Infection transmission to patient during injections wound dressing.	4	2	8	-Enforcement of SOP on infection preventions.	Nursing Officer.
Lack of drugs and medicine supplies in the clinic.	Patient going without essential drugs hence delayed recovery and increase in claims in reimbursements	5	3	15	-Timely drugs ordering during first months of each quarter.	Pharmacist.
Failure to adhere to healthcare quality controls.	Wrong lab results and wrong prescriptions hence delayed	4	2	8	-Regular clinical meetings to review cases	Health service management board.

	recovery and bad outcome.					
Lack of appropriate diagnosis equipments	Increased referral to external laboratories.	2	3	6	-Budget for needed equipments yearly.	Chairman of department. Laboratory technologist
Staff unprepared in the event of natural or human made disaster.	Larger influx of patients with disastrous results.	3	3	9	-Training of staff on disaster management.	All staff.
External facilities refusing to accept maseno university patients due to delayed settlement of bills.	Patient failing to obtain services from external hospitals and specialist	3	2	6	-Prompt processing of payments of invoices from hospital and specialist.	Finance Officer
III. Transport Department						
Where more than one vehicle is used for a trip that can be used by one vehicle.	Increase wear and tear of motor vehicle	4	3	12	-Scheduling of motor vehicle be done to ensure proper utilization of vehicles.	Transport manager. Operation manager.
Operation of unroad worthy vehicles on the road.	May lead to accidents.	4	3	12	-Ensure servicing of Motor vehicles. -Ensure repairs are done promptly . -Ensure every vehicle is inspected prior to every trip	Transport Manager Workshop Foreman.

Misuse of fuel cards where cards is used while the vehicle is not fueled.	-It leads to financial loss as money will be used from card but the vehicle is not in use.	4	4	16	-The card be handled by one person who supervises the fueling of the vehicles. -Tagging the vehicle that it should be at the filling station during fueling. -Fueling of vehicle be done by at least two people.	Store controller.
Purchase of poor quality spare parts.	-it affects the quality of repairs and also leads to financial loss.	5	5	25	-Spare parts to be purchased from recognized and reputable suppliers.	Transport manager.
Substitution of vehicles accessories with inferior ones.	Low quality spare parts will compromise the performance of the vehicle and consequently financial loss.	5	5	25	-Supervision be done during replacement of old parts with new ones.	-Workshop foreman. -Transport manager.

Fueling of cars, generators lubricants where fuel is pilfered.	Excessive loss of fuel which leads to financial losses.	5	5	25	-Use of Bon Voyage cards. -Fueling to be done by at least three officers. -The cards to be handle by one officer who supervises the fueling of the vehicle after the transport manager approval.	Transport Manager.
IV. School of Nursing						
Inadequate teaching and learning resources	Failure to implement curriculum content.	5	3	15	-Timely approval of department and schools budget. -Timely procurement of teaching materials. Timely recruitment of human resource.	Chairman of Department Dean. DVC AFD HRM PO
Delayed curriculum development, review and approval.	-Closure of programmes regulatory bodies. -Failure to meet the job market needs by graduates.	5	2	10	-Timely approval of curriculum Review.	Dean
Unsafe physical environment	Fall, accidents and injuries. Electrocution. Damaged electronics.	5	2	10	-Ensure work environment is safe and adheres to public works standards.	All staff.

					Ensure repairs are done in good time. Ensure work area is clean at all time.	
V. School of Environment and Earth Sciences						
High voltage discharge from server room.	It may cause dielectric breakdown at skin thus lowering skin resistances	2	3	6	Proper installation of equipment according to ICT authority standards.	Dean SEES.
Fire risk from generators	Destruction of students' files and office equipment.	5	5	25	Installation of extinguisher.	Dean SEES.
Laboratories having one entrance	In case of fire or explosions of chemicals is difficult to escape	5	5	25	Installation of another entrance.	School staff and students.
VI. School of Planning and Architecture						
Theft	Loss of equipment both in the GIS and studio Laboratory.	5	5	15	All doors should be bugler proof. CCTV cameras surveillance should be 24Hrs.	School of planning.
Fire	Loss of infrastructure, equipments and furniture and fittings.	2	2	4	Fire extinguisher should be installed strategically. Staff should be trained on how to use fire extinguisher.	Dean

					Fire extinguishers should be always is checked.	
VII. School of Education						
Lack of storage space of student files.	Difficult in retrieval of file and documents.	4	4	16	Additional space.	Administrative assistant and clerical officer.
Unauthorized access to computer	Lack of confidentiality	3	2	6	Secure with password.	All staff in school.
VIII. Directorate of Student Welfare						
Very small area for counseling services.	Poor service delivery Students. Students shy away from fear of compromised confidentiality.	4	4	16	Counseling section to be considered for bigger space	Registrar ACS
Lack of internet in various offices.	-Difficult in office operation. -Inefficient communication.	4	4	16	Offices to be connected to internet.	Director of ICT.
Delayed maintenance and repair of office equipments.	Inability to deliver services effectively.	5	4	20	-Updating of software and hardware. -Acquisition of new office equipments.	Registrar ACS Procurement officer
Inadequate staff	-Poor performance of the staff.	2	3	6	-Request of more staff.	Director SWS HR
Risk of injury due to motor vehicle accident to various sports events.	-Loss of life /disability.	2	3	6	-Transport booking done two weeks to day of travel.	-Transport manager

					-Games tutor ensure capacity load during boarding of vehicles.	-Games tutor
Risk of injury or death to a sport participant due to pre existing medical conditions.	-Loss of life.	2	2	4	-Develop an emergency action plan. -Students to fill medical examination form during admission stating any pre existing condition.	-Games tutor -Medical officer -Parent/guardians.
Loss of equipments	-unable to participate in games competition. Property.	3	3	9	-store clerk to keep all records of inventory. - Equipments to be returned immediately after use.	-Store clerk. -Games tutor
Lack of uniforms and protective clothing.	Risk getting hurt at work and staff not being smart.	3	4	12	Yearly budgeting of uniforms.	-human resource manager. -Procurement officer.
Inconsistent water flow in halls of resident and kitchens	Delayed/compromise on delivery of services.	3	4	12	-Improve water connectivity. -improve storage capacity.	Registrar ACS.
Inadequate fumigation to eliminate bed bugs.	-Uncomfortable for students to stay in halls of residents. -Negative public image.	3	2	6	-Prepare and implement a reasonable interval of spraying.	-Director Student welfare. -Procurement.
Inadequate/poor maintenance of hall of residence and kitchen.	-Unattractive / unhealthy environment.	4	4	16	-Make a workable maintenance programme properly budgeted for.	Registrar ACS

Lack of proper communication to the catering section on service delivery.	Not able to offer good services in time.	4	3	12	-Passing meal requisition in good time. -use of technology to dispense information.	Director students affairs.
IX. School of Computing and Informatics						
Emission from computer devices	Health hazardous	5	5	25	-installation of air conditions and proper disposal of e-waste.	Staff and students
Manual handling of dusty papers ,office equipments	Health hazardous	4	5	20	-Enough aeration in the room -provide staff with dust coats.	Staff.
Doors opening inwards	Stampede in case of emergency	5	5	25	-Main doors to be made to open outwards.	Staff and students.
Naked electrical wires in lecture halls.	Electrocution and can cause fire outbreak.	5	5	25	-Replacement of faulty sockets and installation of functional fire equipment.	Registrar ACS.
Lack of surveillance cameras.	Loss of school equipment.	5	5	25	-installation of CCTV camera.	Staff and students.
X. Internal Audit Department						
Unable to retain experience staff/reduced staff morale.	Poor performance by the department.	5	3	15	-Work allocated at appropriated level/grade. -map out existing skills and experience	Head of internal audit.

					in the team and identify opportunities for development and additional responsibilities.	
Increase budget pressure.	Lack of skill development due to inability to train the staff.	3	3	9	-Monthly budget monitoring -Ensure delivery of budget target on an annual basis. -Freeze vacancies should they occur in the team.	Head of internal Audit.
IT failure /hardware and software not maintained/cyber attack.	Loss of data	5	3	15	-All data stored on the corporate network -Business plan in place	-Head of internal audit. -Director ICT
Inadequate working conditions	-Inability to deliver as per the work plan	3	2	6	Adherence to Hr policies and procedures.	Audit staff.
Team members are not qualified	Poor work performance	5	1	5	-Robust recruitment is in place. -Explore the use of mentorship within the team. -Widen area of work all team members are involved to broaden experience.	Head of internal Audit.
Inability to meet customer obligation and service demand.	-Weak internal control systems and high risk of exposure.	5	2	10	-Workforce planning -Training -Contingency built into the audit plan.	Audit staff.

Inadequate communication	Misinformation to relevant stakeholders	5	2	10	-Regular team meetings. -Use of technology to share information such as e-mails and whats apps. -Involvement in audit planning and assignment.	Audit staff.
Change of Audit and Risk management membership.	Lack of continuity in the oversight role of the committee.	5	1	5	-Effective relationship between Audit and Risk management committee. -Independent Audit committee member. -Professional qualified staff and adherence to professional standards. -Regular Audit committee modular training.	Head internal Audit.
Over reliance on paper resources.	Loss of data.	4	3	12	-All staff to be issued with laptops. -Electronic working papers are held. -Ability to scan paper records into electronic working papers.	Audit staff.
Inadequate working conditions /work related pressure resulting in staff absence	Inability to deliver as per work plan.	3	2	6	Adherence to HR policies and procedures.	Audit staff.

Unable to provide an adequate internal audit services in line with statutory requirement/internal audit work does not comply with professional standards.	-Unable to provide a compressive report that meet professional standards.	5	1	5	-Qualified Head of Audit and manager. -Team members actively undertaking professional training. -Team involvement in audit planning. -Detailed working papers be maintained evidencing findings. -Refresher training needs identified.	Head of Internal Audit.
XI. Department of Income Generating Activities						
Exposed live cables	-Can cause electrocuted and possible death.	5	5	25	-Ensure electric cables are well covered.	Farm attendant /Supervisors.
Machine noise, insect bite ,viral infections and bacterial infection	Noise can lead to hearing disorder. -Can led to bacterial infections	3	2	6	-Provision of PPEs such as dust coat, masks and ear plugs.	Farm attendant.
Lack of generator at the farm.	-Loss of young animals that are in brooding.	5	5	25	-Installation of backup generator.	Farm manager.
Lack of fence in both Villa and Siriba farms.	-Invasion by neighboring communities. -Theft of farm produce.	5	5	25	-Ensure perimeter wall is put in place. -Increase number of security personnel at the farms.	Farm manager.

XII. Human Resource Department						
Exposure to COVID-19 virus	-Can lead to death -Financial needs for treatment.	5	5	25	-Keeping social distance. -Wearing of mask. -Sanitizing.	All staff and students
Non promotion of long serving staff.	-Reduce moral of staff. -Loss of experienced and qualified staff to other organizations.	5	3	15	-Periodic review of staff for promotion.	HR Department.
Manual data entry in payroll system.	Leads to errors and omissions.	3	2	6	Automation of all MIS key processes in the payroll.	-HR -Director ICT.
Lack of integrity of information and security on payroll.	Incorrect payroll leading to loss of funds.	3	3	9	-Establishing access control systems such as password, routine verification and authorization. -Segregation of payroll process.	HR
XII. INFORMATION COMMUNICATION TECHNOLOGY(ICT)						
Unauthorized access and download of copyrights materials on university domain and system.	Misuse of acquired information.	5	3	15	-Installation of firewall and security protocols. -	
Hacking and manipulation of MIS Navision and website.	Unauthorized persons access important information	5	5	25	-Purchase of genuine software license	Director ICT

3. COMPLIANCE RISK

I. Academic and Student Affairs

1. Admitting students who do not qualify	Admission of unqualified students who cannot manage university academic programmes and graduate Who will not fit in job market	5	1	5	Multiple level of verification of application documents	SAR(Admission)
2. Transferring students to programmes they do not qualify	Delayed graduation due to numerous examinations resist and possible deregistration of affected students	5	1	5	Several level of verifying students programmes clusters against	SAR(Admissions)

II. Health Service Department

3. Failure to comply with medical waste legislation.	-increased infection transmission in the community. -Legal action by NEMA.	3	1	3	Supervision of responsible staff.	Public Health Officer.
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Failure to adhere to regulatory controls of medications	Threats to life of patients. Risk of litigations	4	2	8	Regular support supervision	COD N.O S.C.O
5. Failure to obtain license renewal yearly.	Closure by regulatory bodies.	3	3	9	-monthly acquisition of CPD points as early preparation. -Adhere to electronic reminders from regulatory bodies	Chairman of Department.
III. Internal Audit Department						
4. Unable to provide an adequate internal audit services in line with statutory requirement/internal audit work does not comply with professional standards.	-Unable to provide a compressive report that meet professional standards.	5	1	5	-Qualified Head of Audit and manager. -Team members actively undertaking professional training. -Team involvement in audit planning. -Detailed working papers be maintained evidencing findings. -Refresher training needs identified.	Head of Internal Audit.

The work of internal audit does not align with council priorities and transformation process.	- May make council not to make informed decision	5	1	5	Audit planning linked to the council priorities and strategic risk register. -continue to build audit team knowledge of the council's priorities and initiatives being under taken to address these	Head of Internal Audit
IV. Transport Department						
Where Vehicle do not comply with traffic rules and regulation.	-My lead to vehicle being impounded. -Can lead to financial losses due to fines and penalties.	5	5	25	-Ensure vehicles compliant with traffic rules and regulations.	Transport manager
V. Procurement Department						
Procurement of goods and services without funds available.	-Delayed in payment of suppliers.	3	3	9	-Aligned procurement and asset disposal plan with approved budget. -Enhancing integrity by operating within the approved	Procurement Officer Finance Officer.

					budget and procurement plan	
Irregular and fraudulent processing purchases orders (LPO)	Led to loss of finances.	5	2	10	Ensure usage of MIS for processing of all LPO and payments upon approval.	Procurement Officer
Non -complaints with applicable laws.	Litigations in court of law	5	5	25	-Ensure implementations and compliance with applicable procurement and financial laws.	Procurement Officer Finance Officer.
Conflict of interest in procurement process.	Can led to low quality goods and services. Undeserving suppliers getting tenders.	3	2	6	-operationalizing declaration of conflict of interest register for us during tender evaluation committee meetings	-Procurement Officer.
Manipulation of store inventory	Loss of inventory	5	3	15	-Develop online inventory system. -Tagging of purchased assets -Tracking of all assets released from store through barcode. -Online store requisition by users.	Procurement officer.

4. RUPUTATIONAL RISK						
I. Academics and Student Affairs.						
Misadvising applicants and public.	-Loss of resources by university and students to other universities. -Tainted university image.	5	1	5	-Documenting programmes qualification and any other admission requirements.	SAR(Admission)
Issuing certificates to who have not qualified.	Tainted the university name.	5	1	5	Verification of names be issuing of certificate.	SAR(Emanations)