



UNIVERSITY OF NAIROBI
RISK ANALYSIS FOR RESOURCE MANAGEMENT PROCESS
DATE: OCTOBER, 2018

RATING	LIKELIHOOD OF OCCURRENCE (LO)	POTENTIAL IMPACT (PI)
1	RARE - Very unlikely to occur	NEGLIGIBLE - very small impact
2	POSSIBLE - May happen occasionally	MINOR - Easily remedied, with some effort the objectives can be achieved
3	CERTAIN - Expected to occur in most circumstances	MAJOR - Most objectives threatened

SCORE	RISK LEVEL
1 - 3	Low (L)
4 - 7	Medium (M)
8 - 9	High (H)

Functional Area	RISK DESCRIPTION	SOURCE	RISK MITIGATION	L	P	LO	R	ACTION TAKEN	OPPORTUNITIES
				O	I	x PI	L		
Financial Services	1 Insufficient GoK funding	Exchequer	Adopt austerity measures Generation of more funds	3	3	9	H	Adopted austerity measures Raise Appropriations-in-Aid thru PC	Other revenue sources
	2 High cost of facilities	Economy	Adopt austerity measures	2	3	6	M	Adopted austerity measures	Maximize use of facilities

	3 High cost of medical services	Economy	Adopt austerity measures	3	3	9	H	Adopted austerity measures	Medical Insurance
	4 Fraud	Employees	Corruption Risk Assessment /Mitigation Plan	2	3	6	M	Implementation of Corruption Risk Assessment /Mitigation Plan	
	5 Not realizing target resource levels necessary to fund the strategic plan	Economy	Closely monitor cash flow Re-prioritize projects and initiatives	2	3	6	M	Alternative funding sources for projects and initiatives	
ICT	6 Rapid change in technology	Technology	ICT Master Plan	2	3	6	M	Implementation of ICT Master Plan	Innovation Outsourcing ICT
	7 Data and information insecurity	Technology	Implement secure data management policies and systems Continually train staff on cyber security issues Remain vigilant for new threats	2	3	6	M	Implementation of ICT Master Plan	
	8 Reluctance by staff to embrace use of new MIS	Employees	Proactively involve the user in development of systems Comprehensive training on new systems Implement change management programs for MIS	2	3	6	M	Developed Change Management Process in the QMS (UON/RM/CM)	
Human Resources	9 Industrial unrest	Unions	Proactive engage unions CBA	2	3	6	M	Implementation of CBA	
	10 High staff turnover	Market Forces	HR Policy	2	3	6	M	Implementation of HR Policy	Develop staff retention programmes
	11 Resistance to change	Employees	Actively engage staff members through change management programmes	1	3	3	L	Developed Change Management Process in the QMS (UON/RM/CM)	
	12 Alcohol and Drug abuse	Employees	Prevention of Alcohol Drug Abuse Policy	2	3	6	M	Implementation of Prevention of Alcohol Drug Abuse Policy	
	13 Large number of staff in key areas soon reaching retirement age	Policy	Develop and implement succession plans	3	3	9	H	Succession planning	

Procurement	14 Corruption	Employees Suppliers	Anti-Corruption Policy Corruption Risk Assessment /Mitigation Plan	3	3	9	H	Implementation of Anti-Corruption Policy Implementation of Corruption Risk Assessment /Mitigation Plan	
	15 Substandard goods and services	Employees Suppliers	Corruption Risk Assessment /Mitigation Plan (2015	2	3	6	M	Implementation of Corruption Risk Assessment /Mitigation Plan	
	16 Inordinate delays	Employees Bidders	Corruption Risk Assessment /Mitigation Plan (2015-2017)	3	3	9	H	Implementation of Corruption Risk Assessment /Mitigation Plan	Automation of procurement process
Projects	17 Stalled or slow implementation of projects	Poor Coordination	Strengthen procurement processes	3	3	9	H	Proactively build strong synergies between relevant key departments	Training on project management
	18 Weak monitoring and evaluation of plan implementation	Management	Implement the robust M&E programme Risk Analysis	2	2	4	M	Evaluate project completion rate in PC	
Security and Safety	19 Insecurity	Society	Safety Policy	2	2	4	M	Implementation of Safety Policy	Enhanced technologies
	20 Political interference	Politics	Corruption Risk Assessment /Mitigation Plan	2	2	4	M	Implementation of Corruption Risk Assessment /Mitigation Plan	
	21 Riots	Students	Corruption Risk Assessment /Mitigation Plan (2015	2	3	6	M	Implementation of Corruption Risk Assessment /Mitigation Plan	
	22 Terrorism	Society	Corruption Risk Assessment /Mitigation Plan	2	3	6	M	Implementation of Corruption Risk Assessment /Mitigation Plan	Enhanced technologies
	23 Cybercrime	Technology	Corruption Risk Assessment /Mitigation Plan	2	3	6	M	Implementation of Corruption Risk Assessment /Mitigation Plan	
Physical Facilities and Infrastructure	24 Natural calamities and disasters - Fires Floods Earthquakes	Nature	Safety Policy Disaster Management Plan Corruption Risk Assessment /Mitigation Plan	2	3	6	M	Implementation of Safety Policy Implementation of Disaster Management Implementation of Corruption Risk Assessment /Mitigation Plan	
	25 Theft	Employees Students	Corruption Risk Assessment /Mitigation Plan	2	3	6	M	Implementation of Corruption Risk Assessment /Mitigation Plan	

Transport	26 High cost of purchase and maintenance of motor vehicles	Economy	Corruption Risk Assessment /Mitigation Plan					Implementation of Corruption Risk Assessment /Mitigation Plan	Outsourcing Transport
	27 Endemic traffic jams	City Traffic		2	2	4	M		
Legal	28 Litigation	Employees Students Suppliers	Corruption Risk Assessment /Mitigation Plan	2	2	4	M	Implementation of Corruption Risk Assessment /Mitigation Plan	
	29 Sophisticated crimes such as cybercrime	Public	Corruption Risk Assessment /Mitigation Plan	2	3	6	M	Implementation of Corruption Risk Assessment /Mitigation Plan	

**DEPUTY VICE CHANCELLOR, ADMINISTRATION AND FINANCE
OCTOBER 8, 2018**