

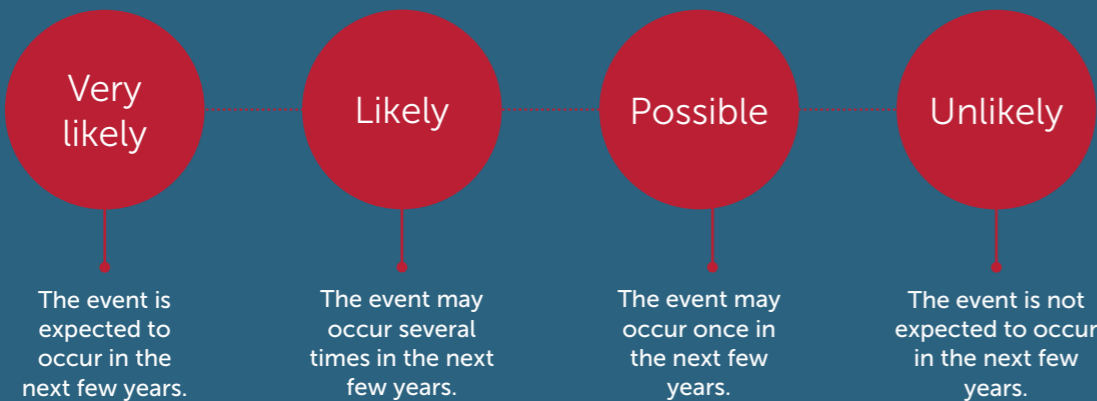
# TR-PSR Risk Matrix

To be used in tandem with a TR-PSR Risk Register

For the purposes of evaluating TR-PSR risk ratings, we have compiled this **TR-PSR Risk Matrix (4x4)** (the Matrix), which is a high-level guidance tool. Using this tool to consider the intersection of likelihood and consequence results in four potential risk ratings: Low (L), Moderate (M), High (H) and Severe (S).

The first aspect of the Matrix outlines risk categories most connected to TR-PSR, specifically: academic freedom, Indigenous and cultural protocols, financial, natural environment, information loss, information technology, institutional reputation, operational disruption, political/national identity, research strategy, security and wellbeing (students), security and wellbeing (staff), and TR-PSR legal/regulatory. This list is for illustrative purposes only. It is neither prioritised nor exhaustive and any inherent inter-dependencies across categories should also be considered.

The Matrix has four levels of likelihood:

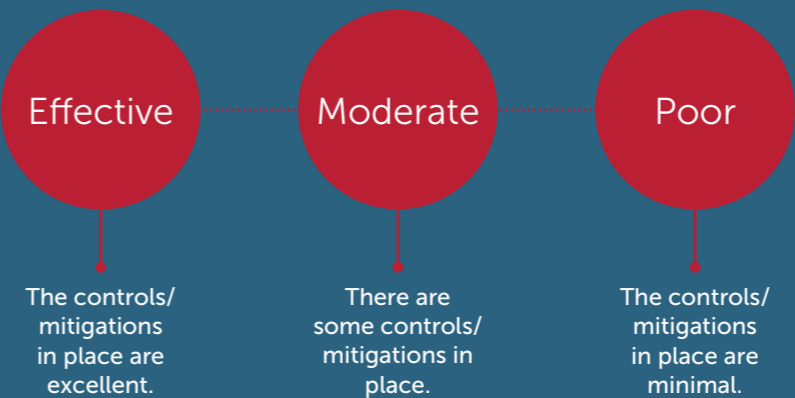


The Matrix also contains four levels of consequence Minor, Moderate, Major and Severe, which can be mapped against each risk category (for example, academic freedom, university reputation, financial and operational disruption). It is intended to be viewed at a university-wide level and the

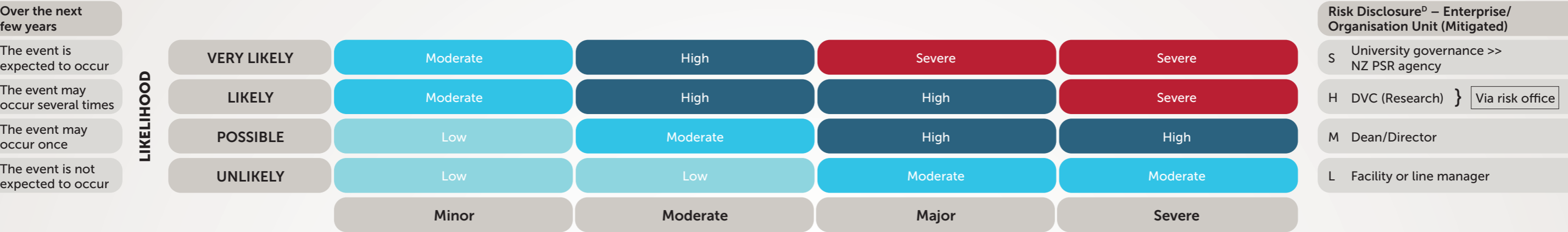
associated guidance reflects this. Risk assessment at local level requires refinement of the 4x4 parameters to enable appropriate assessment and the TR-PSR Risk Management Framework endorses this.

The first risk rating to determine is the **inherent risk** rating; i.e., the level of risk that exists before any controls/mitigations are introduced to manage it. Inherent risk rating is determined by evaluating the likelihood and consequence of the risk occurring without any relevant controls in place.

Once the level of inherent risk has been determined, the **residual risk** rating can then be evaluated using your **TR-PSR Risk Register**. This involves considering appropriate **controls/mitigations** and comparing with the actual controls/mitigations in place and their effectiveness:



# TR-PSR Risk Matrix



Risk Disclosure <sup>Ⓓ</sup> – Enterprise/ Organisation Unit (Mitigated)	
S	University governance >> NZ PSR agency
H	DVC (Research) } Via risk office
M	Dean/Director
L	Facility or line manager

CONSEQUENCE				
Academic freedom	Slight impact; mild concern for academic freedom	Some impact; concern for academic freedom	Considerable impact; serious concern for academic freedom	Significant impact; very serious concern for academic freedom
Indigenous and cultural protocols <sup>Ⓐ</sup>	Slight impact; mild concern for Indigenous and cultural respect	Some impact; concern for Indigenous and cultural respect	Considerable impact; serious concern for Indigenous and cultural respect	Significant impact; very serious concern for Indigenous and cultural respect
Financial <sup>Ⓑ</sup>	<= \$50k TR-PSR related loss or opportunity cost	\$50k–\$100k TR-PSR related loss or opportunity cost	\$100k–\$500k TR-PSR related loss or opportunity cost	>=\$500k TR-PSR related loss or opportunity cost
Natural environment	Minimal environmental harm	Some environmental harm	Medium-term environmental harm	Significant environmental harm
Information loss (includes intellectual property and personal information)	Internal scrutiny to prevent escalation; no stakeholder concern	Some compromise/loss of information sensitive to operations	Considerable compromise/ loss of information sensitive to operations	Significant compromise/loss of information sensitive to operations; lost stakeholder confidence
Information technology and infrastructure	Internal scrutiny to prevent escalation; no stakeholder concern	Some compromise of IT and/or infrastructure; short-term stakeholder concern	Considerable compromise of IT and/or infrastructure; medium-term stakeholder concern	Significant compromise of IT and/or infrastructure; long-term stakeholder concern
Institutional reputation	Minimal internal scrutiny; mild stakeholder concern; reputation upheld	Some internal scrutiny; some stakeholder concern; short-term reputation decline	National media focus; considerable stakeholder concern; medium-term reputation decline	International media focus; enduring stakeholder concern; long-term reputation decline
Operational disruption	Mild operational disruption; workarounds not required	Some operational disruption; manageable by workarounds	Medium operational impact; delay of key deliverables	Breakdown of key activities; inability to operate
Political/national identity	Minimal impact on foreign affairs; mild stakeholder concern; high NZ integrity standing maintained	Some negative impact on foreign affairs; some stakeholder concern; temporary fall in NZ integrity standing	Considerable negative impact on foreign affairs; considerable stakeholder concern; medium-term fall in NZ integrity standing	Significant negative impact on foreign affairs; enduring stakeholder concern; long-term fall in NZ integrity standing
Research strategy	Minimal impact; strategic objectives viable	Some negative impact; short-term detriment	Considerable negative impact; medium-term detriment	Significant negative impact; long-term detriment
Security and wellbeing (students)	Minimal impact; mild concern (psychological, physical, financial)	Some impact; moderate concern (psychological, physical, financial)	Considerable impact; serious concern (psychological, physical, financial)	Significant impact; very serious concern (psychological, physical, financial)
Security and wellbeing (staff)	Minimal impact; mild concern (psychological, physical, financial)	Some impact; moderate concern (psychological, physical, financial)	Considerable impact; serious concern (psychological, physical, financial)	Significant impact; very serious concern (psychological, physical, financial)
TR-PSR <sup>Ⓒ</sup> legal/regulatory	Minor TR-PSR non-compliance; no notification requirements	Minor TR-PSR non-compliance; limited notification to regulators/ affected stakeholders	Medium TR-PSR non-compliance; moderate notification to regulators/ affected stakeholders; potential for legal proceedings	Significant TR-PSR non-compliance; extensive notification to regulators/ affected stakeholders; potential for legal proceedings/imprisonment

<sup>Ⓐ</sup> Including Te Ao Māori and Pacific  
<sup>Ⓑ</sup> Financial parameters to be determined by each university  
<sup>Ⓒ</sup> Includes export control, privacy and sensitive/dual-use technology  
<sup>Ⓓ</sup> The residual risk rating determines where a risk is escalated to in the university