

# TR-PSR Risk Register

To be used in tandem with your TR-PSR Risk Matrix to evaluate residual risk and as a high-level guidance tool for capturing key aspects of your risk response plan.

<b>RISK CATEGORY</b> Does your research have the potential to:	<b>RISK LANDSCAPE</b> Potential threats, vulnerabilities and opportunities	<b>INHERENT RISK RATING</b>	<b>RISK RESPONSE</b> Controls and mitigations in place/planned	<b>RESIDUAL RISK RATING</b>	<b>RISK OWNER</b>
▶ Undermine academic freedom and your university's ability to act as critic and conscience of society?					
▶ Contravene expected Indigenous and cultural protocols and weaken relationships of trust and respect?					
▶ Destabilise your university's operating financial sustainability? • short term • medium term • long term					
▶ Destabilise NZ's political/national identity as a global supporter of open, collaborative research and democratic principles? • human rights • democracy/authoritarianism • state sponsorship • militancy/extremism					
▶ Result in information loss? • intellectual property • personal information, including medical records • sensitive/dual-use technology					
▶ Provide access to and/or expose vulnerabilities in your university's IT and infrastructure?					
▶ Natural environment (locally and more widely)					
▶ Damage the academic global standing of your university and its reputation for being transparent and ethical?					
▶ Cause continuity issues/disruption with the daily operating activities of your university and research partners?					
▶ Undermine the achievement of your university's research strategy and related strategic objectives?					
▶ Result in concern for staff security and wellbeing and place staff in situations of potential harm through overt or covert manipulation, coercion or career damage?					
▶ Result in concern for student security and wellbeing and place students in situations of potential harm through overt or covert manipulation, coercion or career damage?					
▶ Cause non-compliance with NZ and international legal and regulatory requirements regarding TR-PSR?					

## EXAMPLES OF GOOD PRACTICE Controls and mitigations

### Across all risk categories:

- A pervasive, embedded TR-PSR university-wide learning framework/training programme (5Es), tailored for different levels of knowledge requirements
- Clear and accessible TR-PSR focused policies, procedures and processes, including conflict of interest and due diligence
- Assurance and compliance programme for TR-PSR encompassing three-lines model
- Clear and accessible TR-PSR protocols to escalate high/very high risks and/or issues of concern

- Contractual review of research agreement before signing to confirm academic freedom

- Ensure Te Ao Māori and Pacific are embedded into university research practices

- Ensure financial guidance and support are provided through all aspects of the research lifecycle

- Reference check of all research team members
- Due diligence, including conflict of interest
- Confirm practices of collaborators are consistent with your university's own ethics and standards of research conduct
- Confirm work would pass ethics review at your university
- Maintain connections with government forums/networks

- Contractual review of research agreement before signing to ensure intellectual property protection
- Ensure cybersecurity due diligence is undertaken and maintained throughout research lifecycle

- Ensure robust cybersecurity is embedded in your university

- Ensure environmental guidance is provided through all aspects of the research lifecycle

- Ensure all research is reviewed by relevant university stakeholders through a risk lens, including undertaking due diligence

- Ensure embedded research continuity plans are in place and updated regularly

- Ensure all research is reviewed in relation to achieving strategic objectives as part of the overall risk lens throughout the research lifecycle

- Political/national identity
- Ensure research support maintains connection to the project team throughout the research lifecycle

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- Ensure NZ and international requirements are embedded into research contracts through inhouse legal expertise
- Maintain connections to relevant external legal and security networks for continual enhancement

These are some types of treatment but there could be others.