

**University of Newcastle – Commercial Activity Report**

*This Report must be completed in accordance with the* [*Commercial Activities*](https://policies.newcastle.edu.au/document/view-current.php?id=153) *Policy.*

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| Responsible Officer Details |
| Name | Click or tap here to enter text. |
| Position | Click or tap here to enter text. |
| Business Unit  | Click or tap here to enter text. |

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| Purpose of Report |
|[ ]  Regular monitoring report (Complete Part A only). |
|[ ]  Significant changes report (Complete Part A and B). |
|[ ]  Review report (Complete Part A, B and C). |

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| Part A - Commercial Activity Monitoring Report |
| Activity Review Details |
| **Title of Activity/Entity** | Click or tap here to enter text. |
| **Please provide details of any changes since last report or approval (whichever is the latest) to the functions of the commercial activity. Where no change has occurred, state “no change”.** |
| Click or tap here to enter text. |
| **Have any new risks emerged since last report or approval (whichever is the most recent)?**  | Choose an item. |
| **Has the Operational Risk Profile been updated to reflect the changes?** | Choose an item. |
| **If yes, please detail the risks, risk rating, and risk management plan.** |
| Click or tap here to enter text. |
| **Please detail any variation in financial results from those forecast in the proposal, or since last report. Where the variation is unfavourable, discuss if this is considered acceptable and if any mitigation measures are required.** |
| Click or tap here to enter text. |
| **Please detail achievement or non-achievement of project deliverables or key performance indicators and targets. Where they have not been achieved, please detail a performance improvement plan.** |
| Click or tap here to enter text. |
| **Have you identified any actual or potential breaches of compliance with:****a. the University’s obligations as a public authority;****b. any conditions of approval of the commercial activity;****c. all relevant University policies and procedures; or** **d. all contractual and legislative obligations? Where yes, provide details of how this will be managed or resolved.** |
| Click or tap here to enter text. |
| **Has the strategic alignment differed from that projected in the proposal?** | Choose an item. |
| **If yes to above question, please provide overview of impact:** |
| Click or tap here to enter text. |
| **Is the activity currently insured?** | Choose an item. | The answer must be informed via consultation with the Risk Team. Please attach details of current insurance. |
| **Since last report or approval, whichever is the most recent, has there been any changes to associated third parties?** | Choose an item. | If yes, please attach a list of all new 3rd party stakeholders, including a due diligence assessment of each stakeholder. |
| **Have new third parties or new associated University staff been asked to make conflicts of interest declarations?** | Choose an item. | Answer must be yes if new parties exist. Please refer to the [Conflict of Interests Procedure](https://policies.newcastle.edu.au/document/view-current.php?id=310). Please see [Commercial Activity Conflict of Interest Declaration.](https://policies.newcastle.edu.au/download.php?id=1063&version=1&associated) |
| **Are any newly declared conflicts of interest assessed as medium or higher than medium risk?** | Choose an item. | If yes, please attach a formal risk assessment of each relevant conflict of interest (rated medium or higher risk) including an approved conflict of interest management plan. Please refer to the [Conflict of Interests Procedure](https://policies.newcastle.edu.au/document/view-current.php?id=310). |
| **Are any new stakeholders non-Australian citizens?** | Choose an item. | If yes, please ensure the [Transparency & Disclosures Policy](https://policies.newcastle.edu.au/document/view-current.php?id=334) and the [International Sanctions Compliance Procedure](https://policies.newcastle.edu.au/document/view-current.php?id=130) is complied with. Please attach evidence of compliance. |

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| Risk Review |
| Current highest risk rating from the Commercial Activity Risk Assessment: | Choose an item. |
| Highest risk rating in last report or proposal (whichever is the latest): | Choose an item. |

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| Compliance Review |
| Have all compliance obligations been met since last report or approval (whichever is the latest)? | Choose an item. | Where no, please update the original **Compliance Management Plan** and provide with this report. |

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| Part B - Commercial Activity Significant Change Report |
| **Provide details of the significant changes that have occurred, including:** 1. **How the change became evident;**
2. **Likely change to risk ratings;**
3. **Likely impact of the change on the Commercial Activity and the University;**
4. **Proposed management plan.**
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| Click or tap here to enter text. |

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| Part C - Commercial Activity Recommendation |
| **Provide details of your recommendation regarding the commercial activity:** 1. **Continue with commercial activity; or**
2. **Renew at agreement conclusion; or**
3. **Terminate at agreement conclusion; or**
4. **Early exit the agreement / arrangement / activity. (Please complete and attached the Commercial Activity Exit Form).**
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| Click or tap here to enter text. |

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| Appendices to this Report |
| **Number** | **Title** | **TRIM Reference** |
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| Report Details |
| **Completed By** | Click or tap here to enter text. | **Date** | Click or tap to enter a date. |
| **Reviewed / Edited By** | Click or tap here to enter text. | **Date** | Click or tap to enter a date. |
| **Nominated Executive** | Click or tap here to enter text. | **Date** | Click or tap to enter a date. |