**RISK REGISTER**

| **Risk Level**  *(Scoring table at end*  *of document)* | Low | Medium | High |
| --- | --- | --- | --- |

| Category | Identified risk | Potential  Consequences | Probability  H/M/L | Impact  H/M/L | Risk Level  H/M/L | How will we manage  this risk? | Who is  Responsible? | When will  it be done? | Date done |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Reputational | * The detail in the following boxes are examples only. Edit or delete as appropriate. * Perceived negatively/not of value to the sector * Being seen as an agent of others (funders, government) * Losing sight / connection to values | Lack of use of services  Not the ‘go to’ for the sector.  Unable to achieve vision of \*Your Org Name\*. | **L** | **H** | **L** | Effective leadership from the Board and GM.  Work programme planning, monitoring and evaluation. | Board and GM | Ongoing |  |
| Financial | Financial sustainability | Lack of certainty in funding.  Reduced funding. | **L** | **H** | **L** | Relationships with funders.  Submit funding applications.  Continue to engage Councils and other funders regarding funding. | Board and GM | Ongoing |  |
|  | Poor financial management | Unable to monitor the financial status or ‘health’ of the organisation  Potential to overspend. | **L** | **H** | **L** | Robust financial policies and procedures in place.  Annual review/audit of accounts.  Board and GM oversight of budgets. | Board, Treasurer, GM, Financial Administrator | Ongoing |  |
|  | Dishonesty/fraud | Loss of money to \*Your Org Name\*  Loss of confidence in \*Your Org Name\*. | **L** | **H** | **L** | As above | As above | As above |  |
| Workforce | Staff wellbeing | Staff stress or illness because of high workloads resulting in unwellness/  dissatisfaction/  burnout. | **L** | **M** | **L** | Health and Safety and Human Resource policies in place and followed.  Work programme planning.  GM monitoring of workload and prioritising/deferring or finding alternative ways of achieving outcomes.  Regular communication between GM and staff. | GM | Ongoing |  |
|  | Staff retainment | Loss of good staff due to remuneration, high workload, dissatisfaction with work/workplace. | **L** | **M** | **L** | Be able to offer other benefits e.g. flexibility, time off. Actions identified above. | GM | Ongoing |  |
|  | Lack of cultural awareness | Lack of ability to effectively engage and support Māori social services.  Lack of priority/resources allocated to issues of concern to Māori.  Lack of support for Māori staff. | **L** | **M** | **L** | Introduction of Treaty of Waitangi policy.  Ongoing education of staff and Board of te ao Māori, tikanga, kawa.  Māori representation on Board.  Further allocation of resources for a cultural advisor/kaumatua. | GM, Board | Ongoing |  |
| Governance | Lack of certain skills/experience required by governance.  Lack of diversity of board members.  Lack of leadership succession. | Lack of comprehensive governance in certain areas.  Lack of consideration of some issues.  Decision-making compromised.  Lack of suitable Board members. | **L**  **L** | **M**  **M** | **L**  **L** | Regular review of skill set on the Board.  Training for Board members.  Actively seeking Board members with appropriate skills/experience. | Board | Ongoing |  |
| Operations | Natural disaster/Extreme weather event | Inability to operate at all or to a reduced extent. | **L** | **H** | **M** | Health and safety policy in place and followed. Business continuity planning and risk management planning for \*Your Org Name\*. | GM | Sept 2023 |  |
|  | Technology failure | Staff unable or significantly hindered from being able to undertake their work. | **M** | **M** | **M** | Access to IT support.  Develop a risk management plan in the event of a technology failure. | GM | Oct 2023 |  |
|  | Cyber security breach | Staff unable or significantly hindered from being able to undertake their work, privacy breach of data held, and possible financial consequences if blackmailed to pay money to rectify breach. | **M** | **M** | **M** | Develop a cyber security breach plan. | GM | Sept  2023 |  |
| Sector | Compete with the sector for funding | Less funding available for social services. | **L** | **M** | **L** | Clear communication that funding \*Your Org Name\* is supporting the social sector and with some funders \*Your Org Name\* would be applying from a separate ‘pot’ of money from social services. | GM | Ongoing |  |
|  | Competition from other providers | Not seen as the ‘go to’ for the social sector.  Low uptake of \*Your Org Name\* services.  Potential duplication of services. | **L** | **M** | **L** | Work collaboratively with similar providers. | GM | Ongoing |  |
|  | Not being responsive to the sector | Not meeting the needs of the social sector.  Not meeting the vision of \*Your Org Name\*. | **L** | **H** | **L** | To continually engage and listen to the sector. | GM | Ongoing |  |
| Pandemics | Staff contract pandemic illness and/or impacted by associated requirements related to a pandemic eg lock-downs. | Staff unable to work, unable to deliver some services or change the way services are delivered | **M** | **M** | **M** | Infectious policies adopted for \*Your Org Name\*.  In the event of another pandemic the policies will be updated in accordance with government regulations. | GM | Ongoing |  |

# SCORING THE LIKELIHOOD AND IMPACT OF A RISK

* You should give each risk a score for likelihood and impact.
* Then the risk score is calculated by multiplying the likelihood score by the impact score.

**LIKELIHOOD**

**Score Likelihood of risk occurring**

1. Rare: not likely to happen or will only happen in exceptional circumstances
2. Unlikely: not expected to happen, but there is a remote possibility that it will occur
3. Possible: may occur on some occasions, but not frequently
4. Likely: is likely to occur or will happen on more occasions than not
5. Certain: Likely to occur in the majority of cases

**IMPACT**

| **Score** | **Level of impact** | **Possible consequences if risk occurs**[\*](https://knowhownonprofit.org/how-to/how-to-complete-a-risk-assessment#possible_consequences) |
| --- | --- | --- |
| 1 | Insignificant | * No impact on service * No impact on reputation * Complaint unlikely * Litigation risk remote |
| 2 | Minor | * Slight impact on service * Slight impact on reputation * Complaint possible * Litigation possible |
| 3 | Moderate | * Some service disruption * Potential for adverse publicity – avoidable with careful handling * Complaint probable * Litigation probable |
| 4 | Significant | * Service disrupted * Adverse publicity not avoidable (local media) * Complaint probable * Litigation probable |
| 5 | Major | * Service interrupted for significant time * Major adverse publicity not avoidable (national media) * Major litigation expected * Resignation of senior management and board * Widespread loss of beneficiary confidence |

*\*If one or more of these consequences is possible if the risk occurs, give it the related score.*

**CALCULATING THE INITIAL RISK SCORE**

The initial risk score is calculated by multiplying the likelihood score by the impact score.

| **Initial risk score** | **Level** | **Action level** |
| --- | --- | --- |
| 1–8 | **Low risk (L)** | Accept risk. To be managed at the activity level. |
| 9–16 | **Medium risk (M)** | Management action required to reduce risk level to low. |
| 17–25 | **High risk (H)** | Significant risk. Board action/awareness required. |