This register should be reviewed and updated regularly to ensure any risks are being recorded as they are identified and dealt with effectively.

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Risk No | Risk Type | Risk Description | Owner | Likelihood | Impact | Risk Rating | Mitigation Actions | Residual Rating | Review  Date | Status |
| R1 | Governance | Lack of effective governance systems and internal controls | Committee / Service Manager | Rare | Major | High | * Committee and sub-committees meet as scheduled and operate on basis of continuous improvement ie issue are identified, rectified and overall systems and controls are modified when needed * Annual review of governance structures and internal controls * Annual external audit undertaken and follow up actions implemented. | Low |  |  |
| R2 | Governance | Management roles fail to execute governance systems and internal controls | Committee | Rare | Major | High | * Management reporting arrangements are clear and provided as scheduled and as requested. * Risk register is maintained and issue reported to Compliance Committee in a timely fashion. | Low |  |  |
| R4 | Cyber | Data is inadequately identified and protected. | Service Manager | Unlikely | Major | High | * Employees and Volunteers are trained on policies and procedures. * Policies and Procedures are reviewed and updated as scheduled or when changes occur in regulatory environment * Vendors provide assurance to Member Service on cyber security arrangements on a regular basis * Vulnerability testing is carried out as required in partnership with vendors. | Medium |  |  |
| R5 | Cyber | Data held by Member Service is breached and misused | Service Manager | Possible | Major | Extreme | * A process is in place to identify data breaches and address when identified. * Server data backed up daily onto file, file secured daily off-site. * An annual review process is followed to identify and address vulnerabilities. * Employees and Volunteers are trained on policies and procedures. * Policies and Procedures are reviewed and updated as scheduled or when changes occur in regulatory environment | Medium |  |  |
| R6 | Human Resources | Strategic, Operational Plan and grant agreements are not executed due to workforce culture and capability | Service Manager | Unlikely | Major | High | * Member Service performance monthly performance meeting reviews performance against Strat, Op Plans and grant agreements (AWP). * Employees are assigned responsibility to deliverables as part of performance agreement. * Performance is reported to Committee on a quarterly basis. | Medium |  |  |
| R7 | Operational | Incidents and / or complaints are not recorded and/or not provided to the Committee for appropriate awareness and oversight | Service Manager | Unlikely | Major | High | * Committee are provided with data on incidents and/or complaints in a timely fashion. * Employees and Volunteers are trained in incident and complaints policies and procedures. | Low |  |  |
| R8 | Operational | Facilities are broken into either during or after hours | Service Manager | Possible | Major | Extreme | * Building security is in place and reviewed at least annually. * Employees and volunteers are trained in building security practices and is part of induction. * Incidents are recorded and improvements made as required. | Low |  |  |
| R9 | Cyber | Computer equipment are stolen | Service Manager | Possible | Moderate | High | * Computer equipment not allocated to staff is stored securely. * All equipment is secured with a password where practicable. * Inventory of computer equipment is conducted annually. * Building security is in place and reviewed at least annually. * Employees and volunteers are trained in security practices and is part of induction. * Incidents are recorded and improvements made as required. | Low |  |  |
| R10 | Human Resources | Inability to attract and retain employees with the required capabilities | Service Manager | Unlikely | Major | High | * Employment conditions are monitored and for competitiveness within the sector. * Recruitment and on-boarding processes reflect positive workplace environment (employer value proposition) * On-going professional development opportunities are identified and undertaken * Promote positive workplace and opportunities through social media channels eg LinkedIn. * Staff feedback and input into strategic and operational are sought on a regular basis. | Medium |  |  |
| R11 | Disaster Management | Business continuity plan fails disrupting services to clients and the general public | Service Manager | Possible | Major | Extreme | * Business continuity plan is reviewed and tested at least annually, incorporating new threats as required. | Medium |  |  |
| R13 | Human Resources | Employees and/or volunteer are injured due to ergonomic issues | Service Manager | Possible | Minor | Medium | * Regular training is conducted. * Workplace risk assessments are carried out at least annually. | Low |  |  |
| R14 | Human Resources | Employees and /or volunteers are injured due to insufficient ergonomic set up of workplace eg work stations, storage areas | Service Manager | Possible | Minor | Medium | * Employee / Volunteer office / workplace set up is part of induction processes * Work stations and work areas such as desks, loading and storage are assessed as required. | Low |  |  |
| R15 | Human Resources | Employees and/or volunteers are injured due to hazards in the workplace | All employees and volunteers | Possible | Major | Extreme | * Employee and volunteer training on WH&S. * Workplace risk assessments occur at least annually. * Contractors are inducted, communicate and put in place strategies regarding risks and WH&S practices if performing work onsite. | Medium |  |  |
| R16 | Human Resources | Insufficient staff and volunteer numbers to deliver services to member services and clients | Committee / Service Manager | Possible | Major | Extreme | * Rostering of volunteers is coordinated in advance and communicated regularly as much as possible. * Recruitment strategies and activities are conducted in a timely fashion. * Workloads are managed and redistributed as required, demands of member service/s are managed with them. | Medium |  |  |
| R17 | Operational | Facilities have a fire break out | Service Manager | Rare | Catastrophic | High | * Fire detection and protection systems are in place and regularly reviewed. * Employee and Volunteers are trained in fire and evacuation procedures. | Low |  |  |
| R18 | Human Resources | Staff will be involved in a motor vehicle accident | Service Manager | Possible | Minor | Medium | * Registration of staff licenses are maintained. * Fleet vehicles are serviced in accordance with service book. * Insurances are maintained and up to date. * Staff are trained in what to do in case of an accident processes. | Low |  |  |
| R19 | Human Resources | Volunteers will be involved in a motor vehicle accident | Service Manager | Possible | Minor | Medium | * Registration of volunteer licenses and registration are maintained. * Insurances are maintained and up to date. * Volunteers are trained in what to do in case of an accident processes. | Low |  |  |
| R20 | Human Resources | Fleet vehicles will break down causing staff to be stranded for prolonged periods of time | Service Manager | Possible | Minor | Medium | * Fleet vehicles are maintained in line with service book. * Staff are trained in what to do in the event of a breakdown. * Staff to conduct monthly vehicle check and identify any issues that need maintenance. | Low |  |  |
| R25 | Human Resources | Staff exposure to hazards increases when working in the facility on their own | Service Manager | Possible | Minor | Medium | * Staff working alone always have access to a mobile phone * Staff are trained and are aware of building security and emergency procedures. | Low |  |  |
| R26 | Finance | Finances are not sustainable | Service Manager | Rare | Catastrophic | High | * Annual Budget approved by the Committee. * Management reporting of budget provided to Finance Committee each month. * Financial strategies are identified, implemented and reported to Finance Committee. * Grant acquitals are accurate and on time * Process in place to seek out additional grant funding and/or other income streams. * Financial Delegations in place and reviewed at least annually. * Marketing strategies are deployed | Medium |  |  |
| R27 | Finance | Employees and / or volunteers steal property | Service Manager | Unlikely | Moderate | Medium | * Asset register and inventory reviewed regularly. * Security measures in place to deter theft. | Low |  |  |
| R28 | Finance | Employees and / or volunteers defraud the company. | Service Manager | Unlikely | Major | High | * Internal controls are in place and monitored to prevent and detect instances of fraud. * Annual external audit. * Criminal History Checks conducted for all employees and volunteers. * Employee and Volunteer training * Delegations reviewed at least annually. | Medium |  |  |
| R32 | Finance | Government funding changes or is not renewed. | Service Manager / Committee | Possible | Major | Extreme | * Regular meetings and contact with government agencies / funders. * Budget strategies to address reduction in funding. | Medium |  |  |
| R33 | Regulatory | The service will fail quality standards reviews, financial audits and/or grant commitments | Service Manager | Unlikely | Catastrophic | Extreme | * Systems, policies, procedures, training and continuous improvement practices in place to ensure both parts of the business are audit ready. * Budget and internal controls are in place and reviewed monthly. | Medium |  |  |
| R34 | Human Resources | The workforce will dispute and challenge employment conditions | Service Manager | Unlikely | Minor | Low | * Access to Miles Witt as needed. * Employment contracts are in accordance with legislative practices and the enterprise agreement. * Equity and fairness are applied to employment contracts. * Confidentiality and security of individual employment arrangements are maintained. * HR Policies and procedures are up to date and staff. * Staff training and induction. | Low |  |  |
| R35 | Governance | Insurances are not maintained or made available to the service. | Service Manager / Committee | Rare | Catastrophic | High | * Insurance renewal process is managed with broker and meets all deadlines. * Member Service data is accurate and communicated to insurance broker and QMOW when required. | Low |  |  |
| R37 | Food Safety | A client/s will become ill or die due to food provision from the service. | CEO | Unlikely | Catastrophic | Extreme | * Maintain currency of Food safety supervisor accreditation and appointment. * Independent Food Safety audits and appropriate continuous improvement strategies. * Provision of advice and support from MOO with Food Safety Program and internal food safety practices and controls. * Communication mechanisms with appropriate authorities to alert and manage fall out from major issue. | Medium |  |  |
| R38 | Financial | Client/s will be unable to pay for their meals. | Service Manager | Possible | Minor | Medium | * Regular communication with client/s * Debtor process is applied where necessary * Use of emergency meals applied as necessary | Low |  |  |
| R40 | Food Safety | Service fails food safety audit | Service Manager | Possible | Catastrophic | Extreme | * Provision of advice and support from MOO with Food Safety Program and internal food safety practices and controls. * Continuous Improvement practices in place and regularly reviewed. * Liaison with council as required. | Medium |  |  |
| R41 | Food Safety | Food quality, nutrition and / or price are considered poor by clients | Service Manager | Unlikely | Moderate | Medium | * Continuous Improvement practices in place and regularly reviewed. * Changes implemented as required. | Low |  |  |
| R43 | Governance | There is a lack of clarity of roles and responsibilities between the service operations and the Committee | Service Manager / Committee | Possible | Minor | Medium | * Provision of performance and activity reports to the Committee. * Periodic sessions with QMOW Operations and QCF with Committee to build relationship and understanding. | Low |  |  |
| R44 | Financial | Service may not be able to participate in the NDIS Marketplace | SERVICE MANAGER/ Committee | Possible | Major | High | * Service develops appropriate practices, procedures and financial model to operate in marketplace. * MOWA and QMOW representations with the NDIS Commission * QMOW support to services in building financial model to determine viability of operating in NDIS marketplace * QMOW support to manage re-registration with services | Medium |  |  |

## Notes to Risk Register

### Risk Types

* Financial – focuses on the funding / financial position of the organisation
* Fraud – focusses on deliberate and illegal behaviour to gain from the company
* Food Safety – focusses on the delivery of a food service.
* Cyber – all organisational information and technology risks
* Human Resources – all organisational people risks including WH&S
* Reputational – all risks that reflect on the organisation’s reputation
* Governance – operations of the Committee
* Regulatory – compliance with policies and standards
* Operational – day to day operations of the organisation

### AS/NZ Standard 4360:2004 Risk Management

Each risk has been rated in terms of it’s resulting likelihood of occurrence and the potential impact, using the rating system specified in AS/NZ STANDARD 4360:2004 Risk Management. These are explained in the tables below.

#### Table 1 - Types of Issues/Risks

|  |  |
| --- | --- |
| **Type** | **Description** |
| Strategic | Related to strategic mission and objectives. |
| Financial | Related to economic impact (costs, revenues, budgets). |
| Regulatory | Related to legal and contractual obligations. Political legislative/agreements impacts. |
| Governance | Related to over-arching governance of organisation - policies and procedures, etc. |
| Operational | Related to decision making, resources or management of organisation. |

#### Table 2 - Qualitative Measure of Consequences of Likelihood

|  |  |  |  |
| --- | --- | --- | --- |
| **Level** | **Descriptor** | **Description** | **Frequency** |
| A | Almost certain | Is expected to occur in most circumstances. | More than once per year |
| B | Likely | Will probably occur in most circumstances. | 1 in 1 - 3 years |
| C | Possible | Might occur at some time. | 1 in 3 - 5 years |
| D | Unlikely | Could occur at some time. | 1 in 5 - 10 years |
| E | Rare | May occur in exceptional circumstances. | 1 in 10 years |

#### Table 3 - Qualitative Measure of Consequences of Impact

|  |  |  |
| --- | --- | --- |
| **Level** | **Description** | **Example detail description** |
| 1 | Insignificant | No injuries, low financial loss, no risk to reputation. |
| 2 | Minor | Minor First aid treatment, medium financial loss, some member service/ individual dissatisfaction. |
| 3 | Moderate | Medical treatment required, high financial loss and public visibility. |
| 4 | Major | Major Extensive injuries, loss of production capability, invocation of disaster recovery with no detrimental effects, major financial loss. |
| 5 | Catastrophic | Death, huge financial loss. |

#### Table 4 - Quantitative Measure of Consequences of Impact

|  |  |  |
| --- | --- | --- |
| **Level** | **Description** | **Example detail description** |
| 1 | Insignificant | Nil – Negligible |
| 2 | Minor | Under $50K |
| 3 | Moderate | Between $51k - $250k |
| 4 | Major | Between $251k - 500k |
| 5 | Catastrophic | Above $500k |

#### Table 5 - Qualitative Risk Analysis Matrix

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Consequences** | | | | |
|  | **Insignificant** | **Minor** | **Moderate** | **Major** | **Catastrophic** |
| **Likelihood:** | **1** | **2** | **3** | **4** | **5** |
| **A (almost certain)** | **H** | **H** | **E** | **E** | **E** |
| **B (likely)** | **M** | **H** | **H** | **E** | **E** |
| **C (possible)** | **L** | **M** | **H** | **E** | **E** |
| **D (unlikely)** | **L** | **L** | **M** | **H** | **E** |
| **E (rare)** | **L** | **L** | **M** | **H** | **H** |

|  |  |
| --- | --- |
| **Key** | **Description** |
| **E** | Extreme Risk: Immediate action required to mitigate the risk. |
| **H** | High Risk: Action should be taken to compensate for the risk. |
| **M** | Moderate Risk: Action should be taken to monitor the risk. |
| **L** | Low Risk: Routine acceptance of the risk. |

#### Table 6 - Issues/Risks status types

|  |  |
| --- | --- |
| **Type** | **Description** |
| Open | New item identified and awaiting action. |
| Closed | Item closed e.g. no longer a concern, rejected, etc. |
| In progress | Item undergoing treatment/mitigation activities. |
| Monitoring | Treatment/Mitigiation activities complete and being monitored. |
| Resolved | Item resolved through treatment/mitigation actions and resolution accepted by stakeholders. |