

Risk Management 2016

Example risk plan

GUIDANCE ON THE WEIGHTING SYSTEM USED TO ASSESS THE RISK:

1-5 Scoring

Impact			Likelihood		
Descriptor	Score	Impact on service and reputation	Descriptor	Score	Example
Insignificant	1	<ul style="list-style-type: none"> ▪ No impact on service ▪ No impact on reputation ▪ Complaint unlikely ▪ Litigation risk remote 	Remote	1	<ul style="list-style-type: none"> ▪ May occur in exceptional circumstances
Minor	2	<ul style="list-style-type: none"> ▪ Slight impact on service ▪ Slight impact on reputation ▪ Complaint possible ▪ Litigation possible 	Unlikely	2	<ul style="list-style-type: none"> ▪ Expected to occur in a few circumstances
Moderate	3	<ul style="list-style-type: none"> ▪ Some service disruption ▪ Potential for adverse publicity ▪ Complaint probable ▪ Litigation probable 	Possible	3	<ul style="list-style-type: none"> ▪ Expected to occur in some circumstances
Major	4	<ul style="list-style-type: none"> ▪ Service disrupted ▪ Adverse publicity not avoidable ▪ Complaint probable ▪ Litigation probable 	Probable	4	<ul style="list-style-type: none"> ▪ Expected to occur in many circumstances

Extreme	5	<ul style="list-style-type: none"> ▪ Service interrupted for significant time ▪ Major adverse publicity not avoidable ▪ Major litigation expected ▪ Resignation of senior management and board ▪ Loss of community confidence 	Highly probable	5	<ul style="list-style-type: none"> ▪ Expected to occur frequently and in most circumstances
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Risk Rating Table

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Likelihood of injury or harm to health	Consequence of injury or harm to health			
	Insignificant	Moderate first aid and/or medical treatment	Major extensive injuries	Catastrophic Fatalities
Very Likely	High	Extreme	Extreme	Extreme
Likely	Moderate	High	Extreme	Extreme
Moderate	Low	High	Extreme	Extreme
Unlikely	Low	Moderate	High	Extreme
Highly unlikely (rare)	Low	Moderate	High	High

Identified Risks

Risks identified	Likelihood	Impact	Overall (gross) risk	Control procedure	Retained (net) risk	Action required
Difficulty in recruiting suitable members on the Trustees	3 up	4	16	<ul style="list-style-type: none"> We recruit Trustees Members based on competency criteria We have the ability to co-opt members with special skills and experience We have a large and relevant network of people to recruit from 	Medium	Review of governance requirements in progress.
Governance performs badly	2	5	15	<ul style="list-style-type: none"> We recruit Trustees Members based on competency criteria There is an orientation process for new members There is a clear delegation of responsibilities Meeting process is understood and adhered to Current Trustees Members are engaged in the work of The Law Centre Refreshed governance committee members so all current members are engaged. Te Pūtiki created to further treaty based initiatives. 	Medium	
Loss of key people	3	3	12	<ul style="list-style-type: none"> The Chair regularly considers succession planning The General Manager regularly considers succession planning We have a new management structure that spreads responsibility to more people 	Medium	

Operational risks

Risks identified	Likelihood	Impact	Overall (gross) risk	Control procedure	Retained (net) risk	Action required
Difficulty in attracting staff with the necessary experience and skills	3	4	16	<ul style="list-style-type: none"> We are guided by strong vision, mission and value statements We have a good reputation We follow a recruitment process and policy We offer good leave conditions We write clear job descriptions We provide a training budget We regularly review job descriptions We continuously monitor our service quality and reputation Good use of social media to promote vacancies 	Medium	Increase salaries
Inability to retain skilled staff	4	4	20	<ul style="list-style-type: none"> We offer a collective agreement We carry out an Annual Staff Satisfaction Survey Our job descriptions reflect actual duties We offer a reward for long service (long service leave) Professional development needs and training are regularly discussed between staff and their supervisor Staff are acknowledged at public events CPI increases over the past six years There is a complaints process available We have weekly staff meetings There are monthly individual meetings between staff and their supervisor We partake in team building activities We offer flexible working arrangements Revision of current structure has resulted in increased career pathways 	Medium	Increase salaries Seek flexible funding and contracts to keep work interesting
Poor inter-staff and governance relationships and communication	2	3	9	<ul style="list-style-type: none"> There are effective communication and collaboration processes There is open and transparent consultation Staff can view Trustees papers and are able to attend Trustees meetings We hold regular staff meetings Team values are understood and maintained 	Low	

Staff regularly perform badly	2	5	15	<ul style="list-style-type: none"> We encourage peer review We follow a Code of Conduct We undertake a rigorous recruitment process which results in good people choices We have a positive and supportive work culture with great inter staff relationships 	Medium	
Inadequate recruitment and retention of volunteers	3	3	12	<ul style="list-style-type: none"> We regularly monitor volunteer levels and hold regular recruitment and training We have two Volunteer Coordinators We provide an Induction Process to volunteers We circulate a Volunteer newsletter We have efficient volunteer administration including the new cloud based roster system We acknowledge our volunteers publicly We hold twice yearly functions for volunteers The Volunteer Sub-Committee supports the volunteers and is a key part of our governance 	Low	Seek transport support to Te Awa Kairangi office
Volunteers perform poorly	3	4	16	<ul style="list-style-type: none"> We provide a Workers' Kit We follow a Code of Conduct We follow a QA process for volunteer performance We provide ongoing training We have a buddy system for new volunteers We have two Volunteer Coordinators We roster volunteers appropriately We have a volunteer removal process There is worker supervision 	Medium	
Breach of professional or ethical standards	4	4	20	<ul style="list-style-type: none"> We recruit competent and committed staff & volunteers We provide an induction process and training for staff & volunteers We undertake regular performance appraisals Breaches of professional or ethical standards are reported to the Trustees 	Low	
Breakdown of team values	2	3	9	<ul style="list-style-type: none"> We hold weekly staff meetings We follow a Code of Conduct We hold regular staff events Monthly all staff hui and development of shared value statement. Implementing monthly Peer Supervision Groups for all staff 	Low	

Staff are overwhelmed by workload	3	4	16	<ul style="list-style-type: none"> • There are monthly individual meetings between staff and their supervisor • We have established sound management and supervision structures • Staff are encouraged to access external supervision/ counselling/Life Coaching which is paid for by the organisation. 	Medium	
Services do not meet community needs	3	4	16	<ul style="list-style-type: none"> • We observe our mission and value statements • Staff are embedded in their target communities and develop services accordingly 	Low	
Language or other barriers are not overcome	4	3	15	<ul style="list-style-type: none"> • We ensure legal resources are in plain English and recognise ethnic diversity • We offer interpreters to clients who need them • Staff attend community networking meetings • Trustees members have community knowledge and connections 	Low	<p>Improve links with ethnic communities in our geographical catchment</p> <p>Improve volunteer diversity</p>
The changing needs of the community are not responded to in a timely way	3	3	12	<ul style="list-style-type: none"> • We maintain & review up-to-date statistical information • We carry out other consultative processes with interest groups as the need arises • We give priority to community liaison as a standard part of our work • We carry out client surveys and assess feedback • Staff are embedded in their target communities 	Low	
Community groups are not advised adequately	3	3	12	<ul style="list-style-type: none"> • Staff actively network and communicate with the community sector • We maintain regular media exposure through community newspapers and radio • We provide informational meetings/ workshops • We distribute regular newsletters to interest groups • Our Annual Report is widely distributed 	Low	

Planning processes do not exist or do not function efficiently & effectively	3	3	12	<ul style="list-style-type: none"> We undertake strategic planning and the strategic plan is well integrated in people's work We maintain robust financial processes, including an annual budget & budget forecasting to ensure sustainable funding We review the staffing level & skill base as part of the planning process We take part in regional & national meetings with other similar service providers. 	Low
No respect for the principles of the Treaty of Waitangi	3	3	12	<ul style="list-style-type: none"> We receive training in the Treaty of Waitangi We have established a yearly 'Te Tirohanga Māori' training event The strategic plan includes the overarching principle of biculturalism 	Low
The lease contains onerous conditions and inadequate terms	4	2	10	<ul style="list-style-type: none"> Negotiate better terms, or move to better premises 	Low
Inadequate insurance (Contents, PL, TL)	3	3	12	<ul style="list-style-type: none"> The insurance is updated when there are large purchases 	Low
Premises do not fit the needs of the organisation	2	4	12	<ul style="list-style-type: none"> New office provides opportunity for better fit out and use of space and it is 100% Leased premises are wheelchair accessible 	Medium
Inadequate computers and software	2	3	9	<ul style="list-style-type: none"> The system is managed by an IT specialist firm which provides maintenance and support We backup daily offsite We have a budget for regular updates and upgrading of IT equipment We have a capital expenditure budget 	Low

Confidentiality policies and procedures are inadequate	3	4	16	<ul style="list-style-type: none"> We adhere to a confidentiality policy and procedures including Code of Conduct and confidentiality pledge for staff and volunteers We have a Privacy Officer All our records are safely stored including staff personal information There is a confidential document destruction process in place We use security logins for computers Our clients are given reason for collection for information We have a procedure for release of client information. We have a conflict of interest policy 	Low	
Service provision severely affected by events outside of our control e.g. earthquake, fire etc.	3	5	20	<ul style="list-style-type: none"> All data is backed up daily through 'keep it safe', an external online server We have remote access Our core service can be delivered by staff in other locations We have adequate contents and business interruption insurance 	Medium	

Financial risks

Risks identified	Likelihood	Impact	Overall (gross) risk	Control procedure	Retained (net) risk	Action required
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Lack of financial policies and procedures	3	4	16	<ul style="list-style-type: none"> We follow financial policies and procedures The Treasurer and management monitors the financial situation monthly and reports to the Trustees Our accounts are audited yearly The budget is set yearly and reviewed monthly We follow a Code of Conduct We provide the Trustees with monthly reporting on our contract requirements Project reports done as per contracts Other funding report backs are completed New web based payroll system 	Low	
Insufficient reserves	2	2	6	<ul style="list-style-type: none"> We have sufficient reserves We follow a reserves policy We provide the Trustees with a quarterly reserves statement 	Low	
We receive insufficient funding	3	5	20	<ul style="list-style-type: none"> We have experienced a general increase in and diversification of funding over past 3 years Economies of scale through organisational growth 	High	
Contract or funding requirements are not met	4	5	25	<ul style="list-style-type: none"> Project reports done as per contracts Other funding report backs are completed We have a good relationship with our funders 	Medium	

External risks

Risks identified	Likelihood	Impact	Overall (gross) risk	Control procedure	Retained (net) risk	Action required?
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Public image is damaged by breaching professional, legal, ethical or community standards	2	4	12	<ul style="list-style-type: none"> We ensure compliance with policies and procedures including media and complaints policies We maintain a feedback processes We carry out surveys amongst actual and potential users and stakeholders We follow a peer review process The manager reports regularly and fully to the Trustees on identified risks There is a Code of Conduct We have high standards for our work 	Low	
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Plant/Machinery/People Risks

Risks identified	Likelihood	Impact	Overall (gross) risk	Control procedure	Retained (net) risk	Action required?
Threats of Physical Harm & Verbal Abuse Client/s and other parties become aggressive and threaten physical violence			High	<ul style="list-style-type: none"> Security mirror in Reception to view dead spots in waiting area. Code-lock doors into main office and back of building to provide safe areas for staff and clients who may be threatened. Always maintain a minimum staffing level of 2 persons in the office. If staff believe any situation may get out of hand, remove themselves from the situation. Utilise "panic" buttons in interview rooms when necessary Signs in reception area outlining "Zero Tolerance" policy. 	Medium	

<p>Hazardous Driving Conditions</p> <p>Travelling to and from appointments/venues/training and/or travelling in adverse weather conditions</p>			<p>Medium</p>	<ul style="list-style-type: none"> • Always obey all road rules with regard to speed of travel and wearing safety belt • If weather conditions are extreme, check the AA website before leaving the office to ascertain safety of planned journey. If the weather conditions are adverse to safe driving, reschedule the appointment. • Ensure that the work cell phone is uplifted from the Manager when going on an extended journey (pre-programmed with office number) making sure it is charged up ! • If driving for hours telephone the office when you arrive at your destination and when you leave with an expected arrival time so that staff know when to expect you back. • If staff have not returned within ½ and hour of expected return time, the office will ring the work cell phone to ascertain safety. If no response the police will be called for assistance. • Usage of the cell phone while driving is not recommended. At all times staff should pull over and park when using the cell phone for calls or texts. 	<p>Low</p>	
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