

## Strategic Risk Register - 1 December 2014

STAGE 1 - RISK IDENTIFICATION				STAGE 2 - ANALYSIS OF UNCONTROLLED RISK										STAGE 3 - RISK CONTROLS AND ANALYSIS OF CONTROLLED RISK							STAGE 4 - RISK CLASS					
RISKS			Risk Owner	Consequence Score					Uncontrolled Risk Score					Current Controls			Consequence Score				Controlled Risk					
Risk ID	Cause ID	Description	Causal Factor	Nature of Risk	Justification/Context	Assigned to..	Political	Economic	Social	Technical	Legal	Environmental	Consequence	Likelihood	Level of risk 1(low) to 25 (high)	Control	Political	Economic	Social	Technical	Legal	Environmental	Consequence Score	Likelihood	Level of risk 1(low) to 25 (high)	Risk Class 1 (insignificant) to 5 (very high)
SR1		<b>Current and future development needs of the community (including environmental protection)</b>	10 Year Plan, District Plan and Asset Management Plans	Strategic	Economic, social, environmental, reputational risk	GM Planning GM Infrastructure GM Finance	4	4	4	5	3	4	4	5	20	See risk mitigation plan SR001 for risk components for current development needs and future development needs	4	3	4	5	4	4	4	3	12	High
SR2		<b>Business capability planning - delegation ownership and business continuity</b>	HR planning, systems planning and continuity planning to meet organisational needs	Strategic	Central Government Intervention (appointment of commissioners) and liability	Director CEO Office/HR Manager GM Planning Infrastructure	4	3	4	5	3	1	4	5	20	See risk mitigation plan SR002	3	2	1	3	2	1	2	3	6	moderate
SR3		<b>Management Practise - working within legislation</b>	Local Government Act, Resource Management Act, Building Act or Health and Safety Act e.g. failure to issue code of compliance certificates, work within statutory obligations, resource consent conditions (omissions)	Strategic	Death or Injury, Central Government Intervention (appointment of commissioners)	Director of CEO office/HR Manager GM Legal and Regulatory Planning	5	4	4	5	4	3	4	4	16	See risk mitigation plan SR003, which contains risk components related to legislative requirements	3	2	1	3	2	1	2	3	6	moderate
SR4		<b>Comprehension/disclosure of conflict in decision making processes (elected members/staff)</b>	Fraud, poor disclosure practices, information breach	Strategic	Judicial review, erosion of public confidence, liability, disciplinary proceedings, reputational issues	Director of CEO office/HR Manager GM Legal and Regulatory GM Planning GM Finance	3	1	3	4	4	1	3	5	15	See risk mitigation plan SR004	2	1	2	2	2	1	2	3	6	moderate
SR5		<b>Business capacity (internally and contractually) to meet organisational needs</b>	Performance data to support organisational needs, employment market and contractors within the market	Strategic	contractual liability, service failure, lack of business continuity	Director of CEO office/HR Manager GM Infrastructure GM Planning GM Finance	3	2	3	4	2	1	3	5	15	See risk mitigation plan SR005	2	1	2	2	1	1	2	3	6	moderate
SR6a		<b>Assets critical to service delivery (infrastructure assets)</b>	Third party damage, performance management, project and financial management capability, security and safety measures, data	Strategic	illness/death, reputational, financial, legal	GM Infrastructure	4	5	4	5	4	4	4	3	12	See risk mitigation plan SR006a for list of critical assets and associated management plans	3	3	2	3	2	2	3	2	6	moderate
SR6b		<b>Assets critical to service delivery (property)</b>	Third party damage, performance management, project and financial management capability, security and safety measures, data	Strategic	illness/death, reputational, financial, legal	GM Operations	3	3	4	4	4	1	3	4	12	See risk mitigation plan SR006b	3	3	4	4	4	1	3	4	12	High
SR7		<b>Planning, training and capacity for emergency response</b>	Response to earthquake, flood, fire, snow event, wind damage, pandemic	Strategic	social, recovery impact, liability, reputational, loss public confidence	CEO, Director of CEO office	5	1	5	4	5	5	4	1	4	See risk mitigation plan SR007	3	1	3	3	1	4	3	1	3	low