

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 Class 1 (insignificant) to 5 (very high) |
| 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 | | Current and future development needs of the community (including environmental protection) | 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 | | Business capability planning - delegation ownership and business continuity | 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 | | Management Practise - working within legislation | 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 | | Comprehension/disclosure of conflict in decision making processes (elected members/staff) | 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 | | Business capacity (internally and contractually) to meet organisational needs | 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 | | Assets critical to service delivery (infrastructure assets) | 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 | | Assets critical to service delivery (property) | 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 | | Planning, training and capacity for emergency response | 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 |