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| Lowland RFCA - Risk and Opportunity Register |

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| **Previous Version no.** | **Date** | **Key Changes (reflected in Current Version)** |
| 018 | Apr 20 | E1 – RCM wording changed, point 1 from determine to collaborate  E2 – RCM remove wording “deliver on project revive” project now complete  F3 – RDE point 1 – update sentence & RCM point 1, from convince to collaborate, point 3 remove part of the sentence  S2 –RCM point 2 – change sentence completely  S8 – Removed – system now implemented  F1 – point 2 removed – review backroom functions  F2 – RDE rating increased – current economic climate – RCM point 2 wording updated  A2 – RCM point 2 – LL’s changed to association  C1 – RCM point 2- LL’s changed to association  S9 - New |

##### Document Control and History

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| **Version no.** | 019 |
| **Date** | April 2020 |
| **Author** | Chief Executive Lowland RFCA |
| **Approved by** | Chairman Lowland RFCA |

**2. Likelihood & Impact Descriptors**

**Summary of Risk Movement**

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| **Serial** | **Previous Inherent Rating** | **New Inherent Rating** |
| F2 | 12 | 16 |
| S9 | - | 15 |
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| **Level** | **Descriptor** | **Likelihood** | |
| 1 | Remote | 0 - 9%. May occur only in exceptional circumstances | Has never or very rarely happened before |
| 2 | Unlikely | 10 - 29%. Is unlikely to occur but could at some point | May have happened once before |
| 3 | Possible | 30 - 69%. Fairly unlikely to occur but could at some point | May recur every three years |
| 4 | Very Likely | 70 - 89%. Fairly likely to occur at some point | May recur every two years |
| 5 | Certain | >90%. Will probably or is almost certain to occur | May recur with some frequency |

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| **Level** | | **Descriptor** | | **Impact** | | | | | | | |
| 1 | | Insignificant | | Very little disruption to services.  No injuries  No media coverage | | | | Loss up to £5k | | | |
| 2 | | Minor | | Minor disruption to services  Minor injuries  Minimal local media coverage | | | | Loss of between £5k - £20k | | | |
| 3 | | Moderate | | Significant disruption to services  Serious injury/short term hospitalisation  Local media coverage | | | | Loss of between £20k - £50k | | | |
| 4 | | Significant | | Major disruption to important services  Severe/multiple injuries  Some media coverage | | | | Loss of between £50k - £100k | | | |
| 5 | | Major | | Major disruption to critical services  Loss of life/severe injuries  Extended media coverage | | | | Loss of and over £100k | | | |
| R**isk**  **No** | | **Risk Title** | | **Risk Description / Explanation** | | **Owner** | **Impact** | **Likelihood** | | **Inherent Rating** | **Impacts** | **Risk Control Measures** | | **Impact** | **Likelihood** | **Residual Rating** |
| E1 | | Estates | | **VE Rationalisation / Disposals**  1. MOD / DIO drive short-term, ill-informed disposals / rationalisation which unhinge the long term viability of an estate in the Lowlands that is capable of properly supporting the VRF in the 2020 era.  2. Lack of reprovision for cadets (a reducing risk) | | CE + Hd of Estates | 4 | 4 | | 16 | a. Estate optimised for savings, to sustain reserve forces  b. Damage to cadet footprint  c. Reputational | 1. Collaborate Regional estate strategy with 51 Bde and CofC.  2. Engage 51 Bde to provide RFCA perspective; contribute to Regional Infrastructure Basing Board and Army Reserve Estate Programme Board  3. Be prepared to brief membership | | 4 | 3 | 12 |
| E2 | | Estates | | **Transfer of VE Management as a result of FDIS**  1. RFCA removed from management of the VE.  2. Loss of VE management (to commercial contractor) threatens key RFCA USP (loss of: unit relationships, RGI opportunities, community contact, and intelligent customer role). | | CE + Hd of Estates | 5 | 4 | | 20 | a. Loss of responsive support to units and the VE  b. Loss of RGI and ability to add value to VRF and CF units  c. ACF estate sustainment reliant on Army / DIO funding | 1. Represent issues and resultant cost increases to 51 Bde  2. Reinforce RFCA effectiveness through use of NDR reliefs, RGI and targeting of VRF maintenance and in-year betterment proposals  3. Support development of estate functions - deliver on Project REVIVE. | | 4 | 3 | 12 |
| F3 | | Finance | | **RGI and NDR**  1. Local authorities rescind discretionary 20% NDR reliefs.  2. DIO nett off NDR relief at source.  3. MOD/customer attempts to redistribute RGI between regions reducing incentive to raise RGI. | | Dep CE | 5 | 3 | | 15 | a. Impact on SLA delivery  b. People  c. Reputational | 1. Collaborate with 51 Bde to promote the benefit of RFCA Board control over RGI, and NDR  2. Maintain close liaison with Local Authorities and representative councillors to influence retention of NDR reliefs  3. Optimise letting potential – Alternative Venues in place (additional staff provided for a trial period). | | 5 | 3 | 15 |
| F5 | | Finance | | **Misuse of Credit Cards**  Inappropriate and /or misuse of credit cards. | | Hd Fin | 5 | 4 | | 20 | 1. Financial loss 2. Reputational damage 3. Legal action | 1. Credit card statements reconciled against receipts  2. Named individual invoice on credit card  3. Receipts produced and evidenced spend  4. Card thresholds specific to job holders | | 4 | 2 | 8 |
| F4 | | Finance | | **Reduced GiA Funding**  1. In-year savings measure impact on service delivery / staff levels of Lowland RFCA  2. ABC measures reduce RFCA budgets and force restructuring of RFCAs leading to reduction in support to VRF and CF in Scotland.  3. DIO attempt to buy-out their risk (NDR, maintenance) by directing use of RGI. | | CE | 4 | 4 | | 16 | a. Reduced output  b. Failure to deliver SLA  c. Reputational | 1. Maintain 51 Bde awareness of incoherence of cuts and impacts which would damage support to VRF and CF and reduce RFCA contribution to CE.  2. Support further development of CRFCA options (including shared services).  3. Defend RGI position  4. Focus on essential support to manage in-year pressures | | 3 | 4 | 12 |
| B1 | | Business | | **Failure of the CIS network**  Technical failure / external attack deny network impacting on delivery of RFCA outputs | | Dep CE | 5 | 3 | | 15 | 1. Loss of business continuity 2. Data loss 3. Reputational | 1. Support CRFCA mitigation actions  2. Ensure in-house CIS trg and systems  3. Maintain Business Continuity Plan | | 4 | 2 | 8 |
| S1 | | Strategic | | **Defence Transformation (Integrated Review 2020)**  Unintended consequence of uncoordinated structural change, policies and savings measures unhinges RFCA support to VRF and CF. | | CE | 4 | 3 | | 12 | 1. Loss of VE 2. Loss of ability to generate NDR/WMI 3. Staff impacts | 1. Support CRFCA mitigation measures  2. Maintain close liaison with 51 Bde ; maintain regional CofC awareness of potential impacts as situations arise.  3. Be prepared to brief regional gatekeepers and influencers | | 4 | 2 | 8 |
| S2 | | Strategic | | **Migration to Defence Net**  Lack of RFCA connectivity removes access to MOD publications and JSPs | | Dep CE | 4 | 3 | | 12 | a. Impacts Estates, ACF Bns and WofS Wg WSA  b. Loss of currency in rules and regs | 1. CRFCA working with delivery teams.  2. Use alternative methods | | 3 | 2 | 6 |
| F1 | | Finance | | **Manning.**  ABC 20 savings measures prevent the maintenance of an adequately qualified RFCA workforce. | | CE | 4 | 3 | | 12 | a. Impact on SLA delivery  b. People  c. Reputational | 1. Work to RFCA external review management outputs | | 4 | 2 | 8 |
| F2 | | Finance | | **DIO Estate Funding**  Insufficient funding to maintain estate to minimum safe standards. | | Hd of Estates | 4 | 3 | | 12 | a. Building closures  b. Bow-wave of maint work  c. Deterioration of VE  d. Reputational | 1. Brief Regional CofC on impacts  2. Engage the association and youth champions to highlight impacts  3. Be prepared to make maintenance-driven closure plan | | 4 | 2 | 8 |
| B2 | | Business | | **Safety, Health, Environment and Fire**  1. Failure to provide Safe Place for VRF and CF activity on VE managed by Lowland RFCA. (Links to DIO funding and to Lowland RFCA SHEF regime)  2. Failure to meet SHEF responsibility to staff and tenants (caretakers) | | CE | 3 | 3 | | 9 | a. Loss of business continuity  b. Loss of activity in VRF / CF units affected  c. Financial  d. Reputational damage | 1. Maintain focus through routine quarterly SHEF meetings with Estates, FM, CQMs and ACO representative  2. Inspect caretaker flats and ensure compliance with legal requirements | | 2 | 2 | 4 |
| B3 | | Business | | **Protecting Information**  Failure to maintain GDPR-compliant systems impacts on security of information leading to reputational damage | | Dep CE | 3 | 3 | | 9 | a. Legal  b. Reputational | 1. Implement and maintain GDPR requirements  2. Ensure adequate governance is in place  3. Ensure annual staff training | | 2 | 2 | 4 |
| B4 | | Business | | **Loss of Lowland House facilities**  1. Fire closes Lowland House as an effective business unit.  2. Catastrophic IT failure. | | Dep CE | 3 | 3 | | 9 | Pause to delivery of business outputs, especially finance | 1. Maintain + test Lowland House Business Continuity Plan  2. CRFCA SYMPHONY back-up systems + local IT back-up in fire-proof safe.  3. Maintain ability for key staff to work remotely | | 2 | 2 | 4 |
| A1 | | Association | | **Effective Membership**  1. Failure to maintain effective leadership / membership within Lowland Board and REEG.  2. Failure to attract/retain diverse membership.  3. Inactive / ineffective membership reduces ability to prosecute “Regional Agenda” | | CE | 3 | 3 | | 9 | 1. Reputational 2. Reduced delivery of SLA and outputs especially EE and cadets | 1. Maintain succession planning for Board.  2. Ensure REEG TOR and membership meets the requirement of the EE delivery model.  3. Periodic review of Lowland RFCA membership: requirement, structure, capabilities. | | 3 | 2 | 6 |
| A2 | | Association | | **Lowland Board**  1. NDPB framework impact the ability to recruit and maintain an effective Board with experience and influence in the Res and Cadet arenas, and wider | | CE | 4 | 3 | | 12 | 1. Loss of key experience, advice and governance to executive team. 2. Reputational | 1. Influence CRFCA work with NDPB framework working group.  2. Be prepared to brief association on impacts.  3. Review Lowland Board to ensure retention of key skills, capabilities and experience. | | 3 | 2 | 6 |
| C1 | | Cadets | | **ACF Support Governance**  1. Reg Comd shifts G1 / G4 role from RFCA to RPOC.  2. Reduction in ability of RFCA staff to undertake wider cadet activities – loss of motivation and retention.  3. Loss of G4 function splits the staff C2 in ACF Bn HQ.  4. Reg Comd pace of change in the ACF and burden on CFAV overfaces ACF Bns. | | Dep CE | 3 | 2 | | 6 | 1. Unhinges RFCA in the youth agenda   b. ACF pulled towards the Army leads to greater burden on staff, blurring of boundary between RF roles in sp of Reg and Army Reserve and its management of a volunteer youth organisation  c. Increased burden on CFAV | 1. Engage with 51 Bde  2. Be prepared to brief the association and youth champions  3. Engage through CRFCA and Cadet Healthcheck Team | | 2 | 2 | 4 |
| S9 | | Strategic | | **Loss Of Engagement**  1.The Association loses the ability to engage with employers and the wider community face to face, in a situation such as COVID 19.  Or, sudden severe staff shortages due to illness or defence economy measures place the Association in a situation that would have a similar effect. | | Hd Eng | 5 | 3 | | 15 | a. Loss of business and community relationships.  b. Reduction in signed Armed Forces Covenants and in Employer Recognition Scheme Awards  c. Reduction in support and goodwill  d. Reduction in Defence capability | 1. Have meetings that assume a ‘virtual’ status.  2. Shorten the frequency of meetings and the actual length of the virtual meeting.  3. Greater use of Webinars in unconventional topics to attract audience.  4. Increased use of Newsletters and other publications  5. Establish an employer working from home register on Salesforce | | 3 | 3 | 9 |

**INHERENT RISK VALUES**

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|  |  |  |  |  |
|  |  |  | **E1 F4 F2** | **E2 F5** |
|  |  | **B2 A1 B4**  **B3** | **F1 S1 S2 A2** | **F3 B1 S9** |
|  |  | **C1** |  |  |
|  |  |  |  |  |

Certain

Likely

**LIKELIHOOD**

Possible

Unlikely

Very

Unlikely

Major

Moderate

Minor

Insignificant

Significant

**Impact**

**RESIDUAL RISK VALUES**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  |  |  |  |
|  |  | **F4** |  |  |
|  |  | **S9** | **E1 E2** | **F3** |
|  | **B2 B4 C1 B3** | **A1 A2 S2** | **F1 F2 F5 B1 S1** |  |
|  |  |  |  |  |

**LIKELIHOOD**

Major

Significant

Moderate

Minor

Insignificant

**Impact**

Certain

Likely

Possible

Very

Unlikely

Unlikely