

Annex 4: Risks Log - HSC/05/102

BUSINESS INVOLVEMENT PROGRAMME												
Ref	Date Raised	Raised By	Work Area	Work Stream	Description	Probability	Impact	Action	Status	Changed	Owner	Resolution Date
2	24-Jun-05	AM	BB	CHaSPI	Failure to win support from business for CHaSPI's use.	1	3	Ongoing work to promote CHaSPI through investors and the Corporate Social Responsibility movement.	O		AM	31-Mar-06
3	24-Jun-05	AM	BB	CHaSPI	Failure to win support from public bodies for CHaSPI's use.	1	3	Need to work with other HSE and LA staff to develop a programme to promote CHaSPI.	O		AM	31-Mar-06
4	24-Jun-05	AM	BB	SME Indicator	Failure to win support from insurers to take performance into account when setting insurance terms	2	2	Working with ABI to try to encourage support. Review by researchers to help make the case for CHaSPI.	O		AM	31-Mar-06
5	24-Jun-05	AM	BB	SME Indicator	Declined use of the SME indicator due to failure to win support from SMEs.	1	3	Working with investors and the DTI to encourage support from small businesses.	O		AM	31-Mar-06
8	27-Jun-05	JR	BB	Management regulations	Proposed changes to Civil Liability insurance aspects of Management of Health and Safety at Work Regulations could be expanded dramatically to capture a fundamental review of civil liability issues leading to further regulatory changes.	1	3	Communications plan being prepared to ensure this doesn't happen.	O		LG	31-Mar-06
25	19-Jul-05	MA	BB	Business Benefits	Funding for new case studies research is not received.	1	3	Clarify availability of funds before research is proposed. Give greater priority to generating own case studies.	O		MA, LG	31-Aug-05
26	19-Jul-05	MA	BB	Business Benefits	Work Foundation report is unhelpful.	1	1	Discuss and agree use/non-use of report.	O		MA,	31-Aug-05
27	19-Jul-05	MA	BB	Business Benefits	Review of websites not possible.	1	1	Agree prioritisation of report.	O		MA	31-Dec-05
6	27-Jun-05	JR	CC	Cross cutting	Scope of the Programme drawn too widely.	1	2	Thorough programme planning is being undertaken to ensure resources are not spread too thinly.	O		JR	31-Jul-05
9	27-Jun-05	JR	CC	Cross cutting	May fail to engage effectively with FIT 3 programmes leading to disconnection between what we enable and action that will influence behaviour. Eagerness to engage may result in multiple approaches to the same company.	1	3	Communications plan being prepared to ensure this doesn't happen	O		JR	31-Mar-06
28	19-Jul-05	JR	CC	Cross cutting	Failure to secure evidence base of appropriate quality for policy making and delivery.	2	3	Research strategy will be drawn up to help insure that research is focused on business needs.	O		JR	30-Sep-05
29	19-Jul-05	JR	CC	Cross cutting	Failure of partnership working with LA's and others. Unable to engage partners effectively.	2	2	Stakeholder engagement plan and the use of lead contacts for corporate stakeholders to ensure a focused approach to building relationships. Proactive engagement with LA partners to insure they are on side.	O		JR	31-Oct-05
30	12-Aug-05	JR	CC	Cross cutting	Strategic programme managers may not full incorporate Business Involvement Programmes advice and principles into their work which will lead to poor coordination and effect delivery	2	2	Communications plan being prepared to ensure other strategic programmes feel ownership of and engaged with the Business Involvement Programme.	O		JR	31-Mar-06
10	11-Jul-05	JF	CR	Public Reporting of Health and Safety	HSC Chair wants major changes to research report.	1	1	Make changes high priority work. Liase with researchers and others as necessary and ensure the researchers deliver accordingly.	O		JF, LG	01-Dec-05
11	11-Jul-05	JF	CR	Public Reporting of Health and Safety	Commission priorities change and as a result it rejects updated guidance.	1	1	Continue to promote old guidance.	O		JF, LG	01-Dec-05
12	11-Jul-05	JF	CR	Public Reporting of Health and Safety	Commission requests more information to support revised guidance.	1	1	Find a compromise on research which is as short as possible and single tender.	O		JF, LG	01-Mar-06
13	11-Jul-05	JF	CR	Public Reporting of Health and Safety	None of the companies bid for the research on large organisations, or none of the bids are acceptable.	1	1	Simplify the research specification and ask for amendments to bids, or re-tender.	O		JF, LG	01-Dec-05
14	11-Jul-05	JF	CR	Public Reporting of Health and Safety	Lack of staff resources to provide input as and when necessary.	1	1	Plan work to ensure, as far as possible, that areas of high input do not coincide. Inform Head of Section to see if other colleagues can assist..	O		JF, LG	01-Mar-06

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7	27-Jun-05	JR	CR	Directors Responsibilities	Risk that director responsibilities research will not be conclusive.	2	3	No mitigation possible.	A		LG	N/A
1	24-Jun-05	SV	CR	Large Organisations	Failure of the Project Board to agree the pilot companies an engagement model will prevent the project moving ahead.	2	3	Clear steer to Project Board so that they can make the necessary decisions.	O		JR, SV	18-Jul-05
15	15-Jul-05	EH	SB	Intelligence Hub	Communications Delivery service to unable to create intranet pages quickly enough.	2	3	Liaison with colleagues in CDS including inclusion of intranet pages in draft Communications plan.	O		DH, AOE	31-Dec-05
16	15-Jul-05	EH	SB	Intelligence Hub	Failure to persuade colleagues both in Policy and other Divisions to use our small business expertise	2	3	Small Business Team members to develop intelligence gathering role and to forge strong links with Programmes / Projects that aim to have a major impact on SMEs.	O		DH, LM	31-Oct-05
17	15-Jul-05	EH	SB	Intelligence Hub	Colleagues, may not consider the Business Involvement Programme when commissioning small business research. This may result in unnecessary research being done.	2	1	Links to COSAS to minimise this risk. Also need to publicise more widely existing research.	O		EH	31-Mar-06
18	15-Jul-05	EH	SB	Stakeholder Engagement	Failure to develop Forum because the Chairman and Forum members are unable to devote more time to Forum business.	1	3	Increase and target support to the Forum so that it performs a strategic role in developing HSE initiatives directed at SMEs.	O		DH, EH	31-Mar-06
19	15-Jul-05	EH	SB	Stakeholder Engagement	Failure to properly develop a vision of which stakeholders should be engaging with which parts of HSE (strategy – reputation risk – and stakeholder fatigue.)	2	3	Immediate engagement with colleagues in Policy and outside to map which small business stakeholders they are engaged with and then develop a clear strategy for engagement which is communicated to colleagues.	O		EH, LM	31-Mar-06
20	15-Jul-05	EH	SB	Stakeholder Engagement	Failure to identify sufficient resource to contribute to SFEDI standard development – reputation risk / saddled with SFEDI standard which does not reflect our interests.	3	2	The responsibility for training/business standards is straddled across several teams, primarily Workplace Inclusion, Diversity and Education but also Workplace Health Direct and the Worker Involvement Programme. We should seek some input/resource from those teams and or consider whether the Business Involvement Programme should be taking the lead	O		DH	31-Mar-06
21	15-Jul-05	EH	SB	Stakeholder Engagement	Key stakeholders do not have sufficient resource to engage with HSE or are only prepared to do so, if paid.	2	3	Clarity around which stakeholders we wish to engage and why.	O		EH, LM	31-Mar-06
22	15-Jul-05	EH	SB	External Comms	Insufficient resource for this workstream if too much resource directed to SFEDI standards work.	3	2		O		DH	31-Mar-06
23	15-Jul-05	EH	SB	External Comms	Business.gov has a change of stance regarding the fact that their services are free to OGDs. Since we have been basing our promotion of business.gov to HSE colleagues on this, if it were to change our strategy would be severely damaged.	2	3	No risk mitigation strategy possible	A		DH	31-Mar-06
24	15-Jul-05	EH	SB	Small Business Policy	Failure to persuade colleagues both in Policy and other Divisions by consultation that our planned Policy is correct and will not circumscribe their current / planned initiatives.	3	3	Rather than development of a specific policy which circumscribes freedom of action for colleagues, we should develop a more high level policy (even a strategy) which lays out the principles of good interaction with SMEs and stakeholders.	O		DH, EH	31-Mar-06

Annex 4: Issues Log

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Ref	Date Raised	Raised By	Work Area	Work Stream	Description	Action	Status	Changed	Owner	Resolution Date
1	19-Jul-05	AOE	SB	External Comms	Web team overstretched and unable to respond quickly to requests for new pages	Outside our control, other than to suggest more resources for the Web team	O		DH	N/A
2	19-Jul-05	AOE	SB	External Comms	The revision of INDG 259 needs to complement new version of Essentials. Timing on revisions is tight therefore there is a need to maximise opportunities to dovetail and influence within a tight production time table.	Contact made with CDS editor and relevant policy colleagues. Discussions on drafts are underway. Therneed to balance production with quality control is an ongoing consideration.	O		DH	30-Nov-05
3	19-Jul-05	AOE	SB	External Comms	Business.gov to expand pages for individual industry sectors. New pages will need initial in-depth checking and then they will join the rota for bi-annual checking and updating. Potential resourcing implications both for the Small Business team and others in HSE who will become responsible for checking page content and will currently be unaware of what may be coming their way.	Business.gov so far unable to estimate how much work this is likely to involve. Need to engage with them further and then warn those in HSE where impact may be greatest.	O		DH	31-Dec-05

Names and work areas

Initials	Name
JR	Jonathan Russell
LG	Laurence Golob
AM	Alan Morley
MA	Mohammed Abrar
JF	Jean Ford
SV	Steve Vinton
HS	Hani El-Sabbahy
DH	Debra Humphries
AOE	Angela Orr-Ewing
EH	Elizabeth Hornsby
LM	Louisa McNamara
MS	Meena Sharma

Names and Initials should be added to this list as the need arises.

Areas of work

CR	Corporate responsibility
BB	Business benefits
SB	Small business
CC	Cross cutting

Instructions

Risks and Issues: **Risks and Issues** are either Project or Commercial Risks / Issues.

Project Risks and Issues relate to events that have an impact or potential impact on the project that HSE need to be made aware of.

Commercial Risks and Issues relate to events that have an impact or potential impact on the project or REFIT but are commercially sensitive.

It is important to identify these two types onto separate Risk & Issue Registers.

Risks:

Definition: **A RISK:** An event that might happen in the future and which would have an adverse effect on the project / stage / business.

- 1 Enter the Project Number and Name into cell B2
- 2 Edit cell E2 to show whether Commercial or Project Risk
- 3 Enter full details for a new Risk; the fields are
 - Ref - Unique sequence number
 - Date Raised - Date first entered
 - Raised By - Who raised the Risk
 - Description - Description of the Risk
 - Probability - Likelihood of it occurring, 1 = Low, ..., 3 = High
 - Impact - Impact if it happens, 1 = Low, ..., 3 = High
 - Action - Actions to mitigate the Risk
 - Status - Open, Closed, Accepted, Pending
 - Changed - Set to "Y" if changed since last review. Following review, ALL Risks have this field cleared so that for the next review, only those changed since the last review are examined.
 - Owner - Who is assigned responsibility for resolution of the identified action.
 - Resolution Date - Date by when the action must be completed, or the date the Risk was closed.
- 4 As Risks are progressed, some of the values may require changing. This list **must** be kept up to date.
- 5 Once a Risk is "Closed", the row changes (automatically) to a light grey background.
To avoid long lists of Closed Risks, Hide the row as soon as possible, preferably after the 1st review showing it as Closed.
- 6 A number of the cells have drop-down lists of permitted values.
- 7 A number of the cells show help text when the cell is selected.

Issues:

Definition: **AN ISSUE:** Something here and now that if left unresolved will have an effect on the project / stage / business.

Instructions

- 1 Enter the Project Number and Name into cell D2
- 2 Edit cell E2 to show whether Commercial or Project Issue
- 3 Enter full details for a new Issue; the fields are
 - Ref - Unique sequence number
 - Date Raised - Date first entered
 - Raised By - Who raised the Issue
 - Description - Description of the Issue
 - Action - Actions to mitigate the Issue
 - Status - Open, Closed, Accepted, Pending
 - Changed - Set to "Y" if changed since last review. Following review, ALL Issues have this field cleared so that for the next review, only those changed since the last review are examined.
 - Owner - Who is assigned responsibility for resolution
 - Resolution Date - Date by when the action must be completed, or the date the Issue was closed.
- 4 As Issues are progressed, values may change. This list **must** be kept up to date
- 5 Once an Issue is "Closed", the row changes (automatically) to a light grey background.
To avoid long lists of Closed Issues, Hide the row as soon as possible, preferably after the 1st review showing it as Closed.
- 6 A number of the cells have drop-down lists of permitted values.
- 7 A number of the cells show help text when the cell is selected.