

Organisation Risk Assessment - Activity Details

Organisation name	The trustee for Anvia Trust & The trustee for the Aubrey Trust t/a Pharmaceutical Rehabilitation Services		
Organisation ID / ABN	4-CQXH9YA / 57 287 783 615		
Date risk assessment last reviewed	13/02/2020	Date of next review	27/02/2021

	Performance Management	Issues Management	Governance	Viability	Financial Management	Overall Risk Rating
Risk Rating	Medium	Medium	Medium	Medium	Medium	Medium

Grants (schedule level)	List all grants that the organisation receives from the department. Type in the blank row below the table to add a new row.					
Grant name	FOFMS ID	Grant type	Start date	End date	Value (ex. GST)	Program risk rating
Pharmaceutical Rehabilitation Services	4-CXLX8N0	Service delivery	27/02/2020	15/08/2022	\$600,000.00	Medium

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Risk ID	Risk event	Impact	Likelihood	Consequence	Risk rating	Comments
1	The organisation submits performance reports unacceptably late or not at all.	Department is unable to determine whether activities are being delivered as required.	Unlikely	Minor	Medium	This is the first time that PRS have received a government grant. The department should work closely with the applicant
2	The organisation submits financial reports unacceptably late or not at all.	Department is unable to determine whether funds are being expended as required.	Unlikely	Minor	Medium	This is the first time that PRS have received a government grant. The department should work closely with the applicant to develop the Activity Work Plan and Budget
3	The organisation fails to deliver outputs in line with performance requirements specified in the grant agreement.	Funding objectives are only partially achieved or not achieved at all. Department cannot determine effectiveness of policy.	Unlikely	Moderate	Medium	This is the first time that PRS have received a government grant. The department should work closely with the applicant to develop the Activity Work Plan and Budget
4	The organisation does not act on requests made by the department which are in accordance with the grant agreement.	Funding objectives are only partially achieved or not achieved at all. Department cannot determine effectiveness of policy.	Unlikely	Moderate	Medium	This is the first time that PRS have received a government grant. The department should work closely with the applicant to develop the Activity Work Plan and Budget
5	Negative media articles and/or complaints about the organisation.	Potential for reputational damage to the department or Minister. Loss of confidence in funded services.	Unlikely	Minor	Medium	High-level risk mitigation strategies have been provided and a detailed risk policy and risk mitigation plan will be developed under the agreement
6	The organisation does not take action to resolve issues.	Issues may escalate. Funding objectives are only partially achieved or not achieved at all.	Unlikely	Moderate	Medium	High-level risk mitigation strategies have been provided and a detailed risk policy and risk mitigation plan will be developed under the agreement
7	The organisation does not have required accreditations, certifications, qualifications or insurances.	Organisation may not be legally able to deliver activities.	Unlikely	Moderate	Medium	The organisation is a partnership of trustees of trusts.
8	The organisation cannot maintain or replace staff in key positions.	Organisation is unable to deliver outputs effectively. Funding objectives are only partially achieved or not achieved at all.	Unlikely	Moderate	Medium	The organisation is a partnership of trustees of trusts.
9	Ineffective governance of the organisation negatively impacts delivery.	Organisation is unable to deliver outputs efficiently or effectively. Funding objectives are only partially achieved or not achieved at all.	Unlikely	Moderate	Medium	The organisation is a partnership of trustees of trusts.
10	Ineffective stakeholder engagement by the organisation negatively impacts delivery.	Organisation is unable to deliver outputs efficiently or effectively. Services are inaccessible or not aligned to need. Funding objectives are only partially achieved or not achieved at all.	Unlikely	Moderate	Medium	This is the first time that PRS have received a government grant. The department should work closely with the applicant to develop the Activity Work Plan and Budget
11	The organisation does not expend grant funds before the end of the funding period.	Opportunity cost to the department and the Australian Government. Increased workload for department to recover funds.	Unlikely	Minor	Medium	This is the first time that PRS have received a government grant. The department should work closely with the applicant to develop the Activity Work Plan and Budget
12	The organisation runs out of money to deliver the activity.	Organisation may be unable to deliver outputs without additional funding. Funding objectives are only partially achieved.	Unlikely	Moderate	Medium	This is the first time that PRS have received a government grant. The department should work closely with the applicant to develop the Activity Work Plan and Budget
13	The organisation loses other sources of income required to deliver the grant activities.	Organisation may be unable to deliver outputs without additional funding. Funding objectives are only partially achieved.	Rare	Moderate	Medium	
14	Grant payments to the organisation do not align with the timing of delivery expenses.	Organisation is unable to deliver outputs effectively. Funding objectives are only partially achieved or not achieved at all.	Unlikely	Moderate	Medium	This is the first time that PRS have received a government grant. The department should work closely with the applicant to develop the Activity Work Plan and Budget

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15	The organisation is unable to account for grant funds.	Organisation may not reliably manage funds. Department is unable to determine whether funds are being expended as required.	Unlikely	Minor	Medium	This is the first time that PRS have received a government grant. The department should work closely with the applicant to develop the Activity Work Plan and Budget
16	Misuse of funds by the organisation (i.e. expenditure on activities not permitted under the grant agreement).	Funding objectives are only partially achieved or not achieved at all. Department cannot determine effectiveness of policy. Financial loss or poor value with relevant money.	Unlikely	Moderate	Medium	This is the first time that PRS have received a government grant. The department should work closely with the applicant to develop the Activity Work Plan and Budget
17	Injury or death as a result of funded activities.	Loss of confidence in the organisation. Potential reputational damage to the department and the Minister. Possible legal action.	Unlikely	Insignificant	Low	High-level risk mitigation strategies have been provided and a detailed risk policy and risk mitigation plan will be developed under the agreement
18	Legal action, a significant financial matter or criminal investigation prevents the organisation from delivering grant activities.	Organisation is unable to deliver activities. Funding objectives are only partially achieved or not achieved at all. Interruption to service delivery to the public.	Rare	Moderate	Medium	
19	The organisation becomes insolvent.	Organisation is unable to deliver activities. Funding objectives are only partially achieved or not achieved at all. Interruption to service delivery to the public.	Rare	Moderate	Medium	

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Risk Management Actions: The trustee for Anvia Trust & The trustee for the Aubrey Trust t/a Pharmaceutical Rehabilitation Services

Grant	s22	- 10 sites
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Note: Where the minimum set of controls for the grant program exceeds the recommended actions below, use the grant program controls. The recommended actions are intended to increase the level of control in proportion to the risk of funding the organisation.

Category	Recommended Actions
Performance reporting	#N/A
Financial reporting	#N/A
Other reporting	#N/A
Work plan & budget	#N/A
Final report	#N/A
Payments	#N/A
Certificates	#N/A
Governance	#N/A
Relationship management	#N/A

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Category	Recommended Actions
Review frequency	#N/A

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Organisation Events and Issues Log: The trustee for Anvia Trust & The trustee for the Aubrey Trust t/a Pharmaceutical Rehabilitation Services

Date	Grant	Contact	Issue category	Details	TRIM reference	Next steps	Action officer

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Risk Matrix	Rare	Unlikely	Possible	Likely	Almost Certain
Severe	High	High	Extreme	Extreme	Extreme
Major	Medium	Medium	High	High	Extreme
Moderate	Medium	Medium	Medium	High	High
Minor	Low	Medium	Medium	Medium	High
Insignificant	Low	Low	Low	Medium	Medium

Likelihood Matrix

Qualitative Likelihood Rating	Description
Almost certain	Controls are completely ineffective at preventing all known causes of this risk from occurring. Expected to occur/recur in most circumstances. Has happened more than once before and circumstances have not changed.
Likely	Weak or patchy controls are ineffective at preventing most known causes of this risk from occurring. Will probably occur/recur in most circumstances. Has happened before and circumstances are comparable.
Possible	Controls are effective at preventing some known causes of this risk from occurring, but other causes are not effectively controlled. Could occur/recur at some time. May have happened before, but circumstances are different now.
Unlikely	Controls are effective at preventing most known causes of this risk from occurring, but some causes are not effectively controlled. Not expected to occur/recur. May have happened before, but past causes have been effectively mitigated.
Rare	Controls are effective at preventing all known causes of this risk from occurring. Exceptional circumstances only. No precedent has been set.

Consequence Matrix

Qualitative Impact Rating	Reputation	Health and Safety	Financial (Loss or Cost to Rectify)	Performance
Severe	Media or political pressure on Ministers/Secretary to resign	Death or life threatening injuries	More than \$5,000,000 in one financial year / More than 30% deviation from budget	Could significantly compromise the PBS Program. Grant objectives cannot be achieved.
Major	Sustained negative national media coverage for greater than two weeks and political condemnation	Hospitalisation required	Between \$1,000,001 and \$5,000,000 in one financial year / 11% to 30% deviation from budget	Could compromise this grant program and/or noticeable impact on other grant programs or the PBS Program. Some outputs will not be delivered at all / grant objectives will only be partially achieved.

Moderate	Short term negative national media coverage for less than two weeks and political criticism	Medical attention required	Between \$500,001 and \$1,000,000 in one financial year / 6% to 10% deviation from budget	Noticeable impact on this grant program and/or some impact on other grant programs or the PBS Program. Most outputs are not of the required standard, but will broadly achieve grant objectives.
Minor	Localised negative media attention / ministerial correspondence	First aid required	Between \$250,000 and \$500,000 in one financial year / Up to 5% deviation from budget	Impact is manageable and limited to this grant program. Some outputs are not of the required standard, but little impact on grant objectives.
Insignificant	No adverse impact on reputation / departmental correspondence	Incident, but no adverse health and wellbeing impact	Less than \$250,000 in one financial year	Minimal negative impact on Government policy outcomes. Minimal impact on grant outputs and objectives.

Escalation

Risk Rating	Level of Management
Extreme	Risk must be escalated to SES immediately. Treatments must be implemented to reduce the level of risk to as low as reasonably possible. If the level of risk cannot reasonably be reduced then the risk should be avoided if possible, else actively managed and monitored. Keep detailed records of issues, actions, contact and decisions. Review risk rating bi-monthly and adjust management accordingly.
High	Risk must be escalated to director level and actively managed, including implementation of treatments to reduce the level of risk to as low as reasonably possible. Keep detailed records of issues, actions, contact and decisions. Review risk rating quarterly and adjust management accordingly.
Medium	Risk must be managed and monitored at officer level. Additional treatments are optional. Record issues and decisions. Record actions and contact if managing an issue. Risk rating should be reviewed six monthly and management adjusted accordingly.
Low	Risk should be managed and monitored with minimal allocation of resources. Record issues and key decisions which may alter the risk profile. Risk rating should be reviewed annually.

Date	Time	User	Risk ID	Risk event	Impact	Likelihood	Consequence	Risk rating	Comments
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Instructions

The update button will update the content of this risk tool to the latest version.

Before pressing the button, download the latest version of the risk to and save it to a local folder, such as My Documents or your Desktop (i.e. not TRIM).

When you press the update button you will be prompted to locate the update file on your computer.

