To find more information about the editable version of this risk register, please go to:

www.iso-9001-checklist.co.uk/6.1-actions-to-address-risks-and-opportunities.htm

Risk & Opportunity Register

The risk and opportunity register outlines potential risks that could prevent your organization from achieving its strategic goals and objectives. Risk identification should be carried out with the full involvement of the relevant parties to ensure the relevant perspectives and expertise should be represented (e.g., appropriately qualified representatives from various functions, contractors, stakeholders, suppliers and specialists as appropriate). The inherent and residual risk columns (O and Y) contain formulae that calculate the risk exposure; the residual risk exposure should always be no worse than the post-control residual risk score.

											Pre-control Score									Post-control Score						
Ref No	Date Raised	Process Name	Source	Risk Type	Risk Category	Risk Description	Potential Cause(s)	Potential Consequences	Current Controls	Effectiveness of Controls	Likelihood1	Consequence1	Risk Score 1	Inherent Risk	Suggested Control Measure	Mitigation Response	Mitigation Plan (Including timescales)	Objectives	Opportunities	Owner	Likelihood2	Consequence2	Risk Score2	Residual Risk	Due Date	Status	Review Date
RO1	02-Jun-25	Process 1	Internal	Negative	Financial	Financial reporting to standard requirements	Lack of accounting policy	Delays in reporting	None	Not Effective	4	5	20	Very High	Intolerable, the risk cannot be justified	Mitigate	Improve the timeliness of reporting. Review and update procedures	Compliance	None identified	Name1	1	1	1	Very Low	10-Nov-25	Active	10-Nov-26
RO2	03-Jun-25	Process 1	Internal	Negative	Human Factors	Loss of key staff/staff retention	Unsupportive working environment	Experience or skills lost	Succession planning on-going	Effective	3	5	15	High	Tolerable only if risk reduction is impractical	Mitigate	Ensure adequate terms and conditions for all staff	Availability	Stimulate and support work performance and motivation	Name2	3	3	9	Medium	11-Nov-25	Active	11-Nov-26
RO3	04-Jun-25	Process 2	Internal	Negative	Financial	Dependency on a limited number of income, investment and funding sources	Lack of income diversification	Cash flow and budget impact of loss of income source	Annual reviews	Mostly Effective	4	4	16	High	Tolerable only if risk reduction is impractical	Mitigate	Identify major funding/income source dependencies	Availability	Develop additional income sources	Name3	3	3	9	Medium	12-Nov-25	Cancelled	12-Nov-26
RO4	05-Jun-25	Process 4	External	Negative	Regulatory	Board lacks relevant skills or commitment to meet its responsibilities or duties	Irregular meetings	Poor decision making reflected in poor service delivery and dissatisfied clients	None	Not Effective	5	3	15	High	Tolerable only if risk reduction is impractical	Mitigate	Determine skill needs and gaps of the Board and agree skills required	Competency	Conduct regular Board meetings	Name4	3	3	9	Medium	13-Nov-25	Transferred	13-Nov-26
RO5	06-Jun-25	Process 2	Internal	Opportunity	Operational	Implementation of automated inventory management system could reduce manual errors and improve efficiency	Implementation of automated inventory management system could reduce manual errors and improve efficiency	Reduced operational costs, improved accuracy, enhanced customer satisfaction	Manual inventory tracking systems with periodic audits	Partially Effective	4	4	16	High	Tolerable only if risk reduction is impractical	Exploit	Develop business case for automation system implementation by Q2 2026	Competitive Advantage	Efficiency, Quality, Cost Management	Name5	1	5	5	Minor	14-Nov-25	Closed	14-Nov-26
RO6	07-Jun-25	Process 3	External	Negative	Technical	Cybersecurity breach could compromise customer data and system integrity	Inadequate firewall protection, outdated security software, phishing attacks	Data loss, regulatory fines, reputation damage, business interruption	Basic firewall, antivirus software, employee training on email security	Effective	3	3	9	Medium	Tolerable if the cost of reduction exceeds the improvement	Mitigate	Implement multi-factor authentication, and upgrade security infrastructure	Security	Enhanced security reputation, potential competitive advantage	Name6	2	1	2	Very Low	15-Nov-25	Avoided	15-Nov-26
RO7	08-Jun-25	Process 4	External	Opportunity	Market	New government incentives for green technology adoption could provide funding opportunities	Government policy changes promoting environmental sustainability	Access to grants, tax incentives, enhanced market positioning	Monitoring of government announcements and policy changes	Mostly Effective	2	3	6	Minor	Maintain assurance that the risk remains tolerable	Enhance	Develop green technology strategy and grant application process	Revenue	Funding for technology upgrades	Name7	2	2	4	Very Low	16-Nov-25	Active	16-Nov-26
RO8	09-Jun-25	Process 5	Internal	Opportunity	Human Factors	Remote work capabilities could attract high-quality talent from wider geographic area	Investment in remote work infrastructure and flexible work policies	Access to better talent, reduced office costs, improved work-life balance	Basic remote work policy, video conferencing capabilities	Effective	2	3	6	Minor	Maintain assurance that the risk remains tolerable	Exploit	Expand remote work infrastructure, develop comprehensive remote work policies	Effectiveness	Reduced property costs, wider talent pool, improved employee satisfaction	Name8	2	3	6	Minor	17-Nov-25	Open	17-Nov-26
RO9	10-Jun-25	Process 1	Internal	Negative	Operational	Equipment failure could cause production delays and customer delivery issues	Aging machinery, inadequate maintenance schedules, lack of spare parts inventory	Production downtime, missed deliveries, customer complaints, revenue loss	Scheduled maintenance program, basic spare parts inventory	Partially Effective	2	4	8	Minor	Maintain assurance that the risk remains tolerable	Mitigate	Implement predictive maintenance program, increase spare parts inventory	Reliability	None identified	Name1	2	4	8	Minor	18-Nov-25	Open	18-Nov-26
RO10	11-Jun-25	Process 3	External	Negative	Regulatory	Changes in environmental regulations could require significant compliance investments	Government policy changes, environmental lobbying, international agreements	Compliance costs, potential fines, operational changes required	Regulatory monitoring service, environmental compliance officer	Mostly Effective	2	5	10	Medium	Tolerable if the cost of reduction exceeds the improvement	Accept	Continue monitoring, budget for potential compliance costs	Compliance	Early adoption could provide competitive advantage	Name2	1	5	5	Minor	19-Nov-25	Open	19-Nov-26
RO11	12-Jun-25	Process 5	Internal	Negative	Human Factors	Skills gap in emerging technologies could limit innovation and competitiveness	Rapid technology evolution, limited training budget, difficulty recruiting specialists	Reduced innovation, competitive disadvantage, project delays	Annual training plans, recruitment partnerships with universities	Mostly Effective	3	1	3	Very Low	No mitigation required, continue to monitor	Mitigate	Develop comprehensive training program, establish technology partnerships	Competency	Skilled workforce could enable new product/service offerings	Name3	3	1	3	Very Low	20-Nov-25	Closed	20-Nov-26
RO12	13-Jun-25	Process 4	External	Negative	Legal	Product liability claims could result in significant financial and reputational damage	Product defects, inadequate testing, insufficient quality controls	Legal costs, compensation payments, reputation damage, regulatory action	Quality assurance program, product liability insurance, customer complaint tracking	Mostly Effective	3	2	6	Minor	Maintain assurance that the risk remains tolerable	Mitigate	Enhance quality testing procedures, increase insurance coverage	Quality	Enhanced quality reputation could increase market share	Name4	3	2	6	Minor	21-Nov-25	Closed	21-Nov-26
RO13	14-Jun-25	Process 3	External	Negative	Political	Political instability in key markets could disrupt operations and supply chains	Political elections, policy changes, civil unrest, international tensions	Supply chain disruption, market access restrictions, operational delays	Political risk monitoring, diversified supplier base, contingency planning	Mostly Effective	3	3	9	Medium	Tolerable if the cost of reduction exceeds the improvement	Accept	Continue monitoring, maintain contingency plans, consider political risk insurance	Availability	Crisis could create opportunities in stable markets	Name5	2	3	6	Minor	22-Nov-25	Transferred	22-Nov-26
RO14	15-Jun-25	Process 5	External	Opportunity	Strategic	Legacy IT systems could fail to support business growth and digital transformation	Aging hardware, unsupported software, lack of integration	System downtime, data loss, inability to scale, competitive disadvantage	Regular backups, basic maintenance, manual	Not Effective	5	5	25	Very High	Intolerable, the risk cannot be justified	Mitigate	Develop IT modernization roadmap	Reliability	Modern systems could enable new business models	Name1	3	4	12	Medium	23-Nov-25	Cancelled	23-Nov-26
RO15	16-Jun-25	Process 1	Internal	Opportunity	Technical	Compliance to regulatory requirements	Lack of update and communication	Fines for noncompliance	None	Not Effective	5	4	20	Very High	Intolerable, the risk cannot be justified	Mitigate	Update compliance manual and communicate	Compliance	None identified	Name8	2	4	8	Minor	24-Nov-25	Active	24-Nov-26
RO16	17-Jun-25	Process 3	External	Negative	Operational	Lean manufacturing implementation could reduce costs and improve efficiency	Investment in lean methodologies and employee training	Reduced waste, improved productivity, lower costs, better quality	None	Partially Effective	5	5	25	Very High	Intolerable, the risk cannot be justified	Mitigate	Implement comprehensive lean manufacturing programme	Efficiency	Cost savings, improved competitiveness, better employee engagement	Name1	3	4	12	Medium	25-Nov-25	Closed	25-Nov-26
RO17	18-Jun-25	Process 5	External	Negative	Commercial	Strategic customer seeking long-term partnership with competitors	Customer's desire to reduce supplier base and strengthen	Reduced revenue, increased sales costs, weaker market position	Regular customer reviews	Partially Effective	4	5	20	Very High	Intolerable, the risk cannot be justified	Mitigate	Develop partnership proposals, negotiate long-term agreements	Revenue	Customer satisfaction, market position	Name4	3	3	9	Medium	26-Nov-25	Open	26-Nov-26
RO18	19-Jun-25	Process 1	External	Negative	Environmental					Partially Effective	4	3	12	Medium	Tolerable if the cost of reduction exceeds the improvement	Accept		Maximize Technology		Name2	2	3	6	Minor	27-Nov-25	Active	27-Nov-26
RO19	20-Jun-25	Process 3	Internal	Negative	Financial					Effective	4	4	16	High	Tolerable only if risk reduction is impractical	Mitigate		Profitability		Name3	3	4	12	Medium	28-Nov-25	Active	28-Nov-26
RO20	21-Jun-25	Process 5	External	Opportunity	Technical					Mostly Effective	1	5	5	Minor	Maintain assurance that the risk remains tolerable	Mitigate		Quality		Name4	3	2	6	Minor	29-Nov-25	Active	29-Nov-26
RO21	22-Jun-25	Process 1	Internal	Negative	Reputational					Not Effective	5	1	5	Minor	Maintain assurance that the risk remains tolerable	Transfer		Reliability		Name5	5	1	5	Minor	30-Nov-25	Transferred	30-Nov-26
RO22	23-Jun-25	Process 3	External	Negative	Financial					Partially Effective	5	2	10	Medium	Tolerable if the cost of reduction exceeds the improvement	Accept		Revenue		Name6	4	2	8	Minor	01-Dec-25	Cancelled	01-Dec-26
RO23	24-Jun-25	Process 5	Internal	Opportunity	Operational					Effective	5	3	15	High	Tolerable only if risk reduction is impractical	Mitigate		Security		Name7	3	3	9	Medium	02-Dec-25	Active	02-Dec-26
RO24	25-Jun-25	Process 1	External	Negative	Market					Mostly Effective	1	4	4	Very Low	No mitigation required, continue to monitor	Mitigate		Accountability		Name8	2	1	2	Very Low	03-Dec-25	Active	03-Dec-26
RO25	26-Jun-25	Process 3	Internal	Negative	Operational					Not Effective	2	5	10	Medium	Tolerable if the cost of reduction exceeds the improvement	Mitigate		Accountability		Name1	3	4	12	Medium	04-Dec-25	Active	04-Dec-26
RO26	27-Jun-25	Process 6	External	Opportunity	Operational					Partially Effective	3	3	9	Medium	Tolerable if the cost of reduction exceeds the improvement	Accept		Availability		Name2	3	3	9	Medium	05-Dec-25	Closed	05-Dec-26
RO27	28-Jun-25	Process 1	Internal	Negative	Political					Effective	2	2	4	Very Low	No mitigation required, continue to monitor	Accept		Competency		Name2	1	1	1	Very Low	06-Dec-25	Closed	06-Dec-26
RO28	29-Jun-25	Process 3	Internal	Negative	Financial					Mostly Effective	4	4	16	High	Tolerable only if risk reduction is impractical	Mitigate		Competitive Advantage		Name3	3	4	12	Medium	07-Dec-25	Active	07-Dec-26
RO29	30-Jun-25	Process 5	External	Opportunity	Technical					Not Effective	4	3	12	Medium	Tolerable if the cost of reduction exceeds the improvement	Mitigate		Compliance		Name4	2	3	6	Minor	08-Dec-25	Active	08-Dec-26
RO30	01-Jul-25	Process 1	Internal	Negative	Reputational					Partially Effective	5	1	5	Minor	Maintain assurance that the risk remains tolerable	Transfer		Confidentiality		Name5	5	1	5	Minor	09-Dec-25	Transferred	09-Dec-26
RO31	02-Jul-25	Process 3	External	Negative	Financial					Effective	5	2	10	Medium	Tolerable if the cost of reduction exceeds the improvement	Accept		Credit Control		Name6	5	2	10	Medium	10-Dec-25	Cancelled	10-Dec-26
RO32	03-Jul-25	Process 5	Internal	Opportunity	Operational					Mostly Effective	5	3	15	High	Tolerable only if risk reduction is impractical	Mitigate		Debt Recovery		Name7	3	3	9	Medium	11-Dec-25	Active	11-Dec-26
RO33	04-Jul-25	Process 1	External	Negative	Legal					Not Effective	2	3	6	Minor	Maintain assurance that the risk remains tolerable	Mitigate		Compliance		Name8	2	4	8	Minor	12-Dec-25	Active	12-Dec-26
RO34	05-Jul-25	Process 3	Internal	Negative	Operational					Not Effective	3	3	9	Medium	Tolerable if the cost of reduction exceeds the improvement	Mitigate		Availability		Name1	3	4	12	Medium	13-Dec-25	Active	13-Dec-26
RO35	06-Jul-25	Process 6	External	Opportunity	Operational					Partially Effective	3	3	9	Medium	Tolerable if the cost of reduction exceeds the improvement	Accept		Effectiveness		Name2	3	3	9	Medium	14-Dec-25	Closed	14-Dec-26
RO36	07-Jul-25	Process 1	Internal	Negative	Political					Mostly Effective	1	2	2	Very Low	No mitigation required, continue to monitor	Accept		Integrity		Name2	2	3	6	Minor	15-Dec-25	Closed	15-Dec-26
RO37	08-Jul-25	Process 3	Internal	Negative	Financial					Not Effective	4	4	16	High	Tolerable only if risk reduction is impractical	Mitigate		Manage Budget		Name3	3	4	12	Medium	16-Dec-25	Active	16-Dec-26
RO38	09-Jul-25	Process 5	External	Opportunity	Technical					Partially Effective	3	5	15	High	Tolerable only if risk reduction is impractical	Mitigate		Availability		Name4	3	3	9	Medium	17-Dec-25	Active	17-Dec-26
RO39	10-Jul-25	Process 1	Internal	Negative	Reputational					Effective	5	1	5	Minor	Maintain assurance that the risk remains tolerable	Transfer		Manage Cashflow		Name5	5	1	5	Minor	18-Dec-25	Transferred	18-Dec-26
RO40	11-Jul-25	Process 3	External	Negative	Financial					Mostly Effective	5	2	10	Medium	Tolerable if the cost of reduction exceeds the improvement	Accept		Maximize Return		Name6	5	2	10	Medium	19-Dec-25	Cancelled	19-Dec-26
RO41	12-Jul-25	Process 5	Internal	Opportunity	Operational					Not Effective	5	3	15	High	Tolerable only if risk reduction is impractical	Mitigate		Maximize Technology		Name7	3	3	9	Medium	20-Dec-25	Active	20-Dec-26
RO42	13-Jul-25	Process 1	External	Negative	Market					Partially Effective	4	4	16	High	Tolerable only if risk reduction is impractical	Mitigate		Profitability		Name8	2	4	8	Minor	21-Dec-25	Active	21-Dec-26
RO43	14-Jul-25	Process 3	Internal	Negative	Operational					Effective	3	5	15	High	Tolerable only if risk reduction is impractical	Mitigate		Quality		Name1	3	4	12	Medium	22-Dec-25	Active	22-Dec-26
RO44	15-Jul-25	Process 6	External	Opportunity	Operational					Partially Effective	3	3	9	Medium	Tolerable if the cost of reduction exceeds the improvement	Accept		Reliability		Name2	3	3	9	Medium	23-Dec-25	Closed	23-Dec-26
RO45	16-Jul-25	Process 1	Internal	Negative	Political					Effective	2	2	4	Very Low	No mitigation required, continue to monitor	Accept		Revenue		Name2	1	2	2	Very Low	24-Dec-25	Closed	24-Dec-26
RO46											0	0	0	Unrated	[Blank]						0	0	0	Unrated			
RO47											0	0	0	Unrated	[Blank]						0	0	0	Unrated			
RO48											0	0	0	Unrated	[Blank]						0	0	0	Unrated			
RO49											0	0	0	Unrated	[Blank]						0	0	0	Unrated			
RO50											0	0	0	Unrated	[Blank]						0	0	0	Unrated			
RO51											0	0	0	Unrated	[Blank]						0	0	0	Unrated			

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