

Annex 4: Humanitarian Logistics Capability Risk Register

Risk Rating Legend

Likelihood	Consequences				
	Negligible	Minor	Moderate	Major	Severe
Almost Certain	Moderate	Moderate	High	Very High	Very High
Likely	Moderate	Moderate	High	High	Very High
Possible	Low	Moderate	High	High	High
Unlikely	Low	Low	Moderate	Moderate	High
Rare	Low	Low	Moderate	Moderate	High

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No.	Event	Source	Impact	Likelihood	Consequence	Risk Rating	Mitigation	Residual Risk Rating
1.	Failure or underperformance of logistics capability during an emergency and/or consular response (immediate - during a response)	<ul style="list-style-type: none"> -Commercial logistics contractor under performs (see risk 4). -ADF unable to provide transport assets due to other operational requirements 	<ul style="list-style-type: none"> -Lives not saved, more people are affected, or impact of emergencies compounded -Australia's role as a leader in region undermined. -Public support for Australian involvement in humanitarian and emergency responses eroded. -Public confidence in Australian Government's capacity to provide emergency assistance to Australians overseas is eroded. Damage to the bilateral relationship in the affect countries Weakening of the value of the WoG Partnerships 	Possible	Major	High	<ul style="list-style-type: none"> -All After action reports for humanitarian and consular responses include an explicit focus on logistics. -DFAT maintains alternative options for the sourcing, storage and transport of emergency response supplies including access to other WoG arrangements. -Explicit focus on role of logistics included in all emergency and consular training. -Effective public diplomacy program, including appropriate branding of emergency supplies provided by Australia. -The Humanitarian Logistics Capability Framework is updated every two years to ensure it continues to meet DFAT's strategic and operational needs. 	Moderate

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No.	Event	Source	Impact	Likelihood	Consequence	Risk Rating	Mitigation	Residual Risk Rating
2.	Logistics capability degrades over time. (longer term management issues)	<ul style="list-style-type: none"> -Role of logistics capability not understood or resourced -Crisis Centre and post staff not trained in logistics capability and use 	<ul style="list-style-type: none"> -Lives not saved, more people are affected, or impact of emergencies compounded -Australia's role as a leader in region undermined -Public support for Australian involvement in humanitarian and emergency responses eroded -Public confidence in Australian Government's capacity to provide emergency assistance to Australians overseas is eroded Damage to the bilateral relationship in the affect countries Weakening of the value of the WoG Partnerships 	Possible	Moderate	High	<ul style="list-style-type: none"> - A commercial provider is selected with proven ability to operate globally, either directly or through proven partnerships. -Logistics function adequately resourced by DFAT and reviewed every 2 years. 	Moderate
3.	Vulnerable groups, particularly the elderly, women, people with disabilities, girls and children are negatively impacted	<ul style="list-style-type: none"> -Type of supplies provided and/or method of packing and delivery inappropriate. -Failure to address needs of vulnerable groups in logistics planning and training 	<ul style="list-style-type: none"> -Vulnerable groups disproportionality affected by crisis -Effectiveness of Australian responses lessened. -Inequitable access to emergency supplies -Broad community understanding of and support for Australian involvement in humanitarian and emergency responses lessened 	Likely	Moderate	High	<ul style="list-style-type: none"> -A DHS survey addresses access to and the usefulness of items distributed as well as the contribution of DHS towards needs of those affected. -Clear, visual labelling of goods (when appropriate) with their intended use (and users) to help avoid capture of supplies by other players or failure to be used in the right way. -Representatives of vulnerable groups involved in distribution of emergency supplies and in training and planning. 	Moderate

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No.	Event	Source	Impact	Likelihood	Consequence	Risk Rating	Mitigation	Residual Risk Rating
4.	Partnerships underpinning logistics capability, including with ADF, breakdown	<ul style="list-style-type: none"> -Partners' familiarity with each other's systems and processes falls away -Humanitarian Logistics Working Group ceases operation - Discontinuation of DFAT-ADF liaison officer positions -Partners familiarity with each other's systems and processes declines - lack of coordination among necessary actors 	<ul style="list-style-type: none"> -Effectiveness of Australian responses lessened -Broad community understanding of and support for Australian involvement in humanitarian and emergency responses lessened - Effectiveness of responses lessened - Damage to bilateral relationships and partnerships with donors 	Unlikely	Moderate	Moderate	<ul style="list-style-type: none"> -Annual strategic meetings attended by senior management of the relevant areas of DFAT, ADF and the commercial service provider to critically review interoperability and preparedness. - High level continued engagement with the ADF on coordinating logistics capability. -Humanitarian Logistics Working Group remains functional, meeting twice a year and provides a report to the annual strategic meeting. -Annual in-house mini-reviews (critical issues sessions) at the operational level of DFAT, ADF, DFAT commercial service provider, and where appropriate, other partner agencies, to reflect on lessons learned. -DFAT remains active in OCHA/National logistics cluster. -Periodic tests of joint protocols, procedures and response mechanisms involving DFAT, ADF, DFAT's service provider and other parties where appropriate. - DFATs resourcing and management of the role includes allowing time for maintaining the partnerships. 	Moderate

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No.	Event	Source	Impact	Likelihood	Consequence	Risk Rating	Mitigation	Residual Risk Rating
5.	Logistics capability fails to keep pace with evolution in approaches to emergency and humanitarian response	<ul style="list-style-type: none"> -Lack of senior management and policy oversight of logistics capability - Lack of substantive innovation - Operating environment (and other actors) in affected region will evolve and will need to be responsive to that change 	<ul style="list-style-type: none"> -Provision of emergency supplies swamp and undermines local capacity and markets -Australia not seen as a preferred partner in emergency responses - non-current supplies not utilised/ degrade over time and need to be destroyed 	Possible	Minor	Moderate	<ul style="list-style-type: none"> -The Humanitarian Logistics Capability Framework is updated every two years to ensure it continues to meet DFAT's strategic and operational needs. -In-country procurement of emergency supplies prioritised where appropriate. -The contractor periodically runs diverse procurement exercises to ensure the latest technology and supplies are being incorporated. - Proactive encouragement from DFAT to encourage innovation from the commercial contractor. 	Low

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6.	Commercial contractor underperforms.	<ul style="list-style-type: none"> -Change of contractor impacts negatively on the level of service provision -Contractor personnel are sub-standard -Administrative complexity leads to confusion about which services (consular or emergency response) are ODA-eligible and which are not -Contractor does not have capacity to manage global consular response 	<ul style="list-style-type: none"> -See risk 1 -Logistics capability underperforms -Value for money not achieved 	Possible	Moderate	High	<ul style="list-style-type: none"> -Ongoing reporting by service provider in accordance with specifications in the Scope of Services. -Analytical task specific reporting by service provider in accordance with specifications in the Scope of Services. -Independent (rapid) evaluations of commercial provider logistics operations commissioned at DFAT's direction at the conclusion of selected, significant responses only and will not be routine. -Rapid mid-term review of the Humanitarian Logistics Contract to determine if refinements or changes are required, to be conducted as a component of the mid-term Investment review. -Independent evaluation in Year 4 of the Investment (circa 2022) which will look at, inter alia, the success of the Humanitarian Logistics Contract, as part of the broader independent evaluation referred to above. -Clear protocols established by the managing contractor (in close consultation with DFAT) to ensure that the different funding types (ODA and non-ODA) are accounted and reported separately. -Handover to be provided by the previous contractor, and by requiring bidders to demonstrate a strong track record of relevant experience in international logistics management. -Contract management identified as a priority in staff training and development. 	Moderate
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7.	Constrained resourcing within DFAT or poor understanding of role and purpose of arrangement	-Lack of contract management capability within Humanitarian, NGO & Partnerships Division (HPD) - Staff churn	- Staff not prepared to appropriately manage the role -Difficult to maintain & build the necessary relationships -Degrades ability to respond in a swift manner	Possible	Moderate	High	-Commitment of resourcing from the division. -Terms of reference for the roles to include all aspects of the Investment design, including the UNHRD partnership.	Moderate
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8.	UNHRD Underperforms	<div><div>-Lack of understanding of how Australia responds.</div><div>-Limited procurement opportunities</div></div>	<div><div>-Poor VFM for Australian funding</div><div>-Poor access to supplies for affected parties</div></div>	Possible	Minor	Moderate	<div><div>-Review of partnership in line with framework review recommendations.</div><div>-Strong link to the commercial contractor.</div><div>-More engagement with DFAT.</div></div>	Low
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