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| RISK ASSESSMENT/ACTION PLAN | Office No: |  |

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| Control | |
| 1st Review |  |
| 2nd Review |  |
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|  | **Date** | **By** |
| **Final Close Out:** |  |  |

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| **Project/Hazard**: |  |



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| **Reviewers:** |  |

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| **Distribution:** |  |

A CONFIDENTIALITY AGREEMENT EXISTS BETWEEN THE OWNER AND THE COMPANY. THIS PROJECT IS STRICTLY CONFIDENTIAL AND WE DO NOT HAVE THE AUTHORITY FROM OWNER'S TO DISCUSS THIS OPENLY. PLEASE THEREFORE MAINTAIN THIS ON A NEED TO KNOW BASIS

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| **Date** |  | Benefits |
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| Date |  | Risks |
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| Date |  | Hazard/Task Identification | Controls Required (Action Plan) | Risk Level 1=Low 5=High | Resp | Target | Closed |
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| Overall Risk Rating | | |
| 1 | Low Risk | Acceptable |
| 2 | Low to Medium | Acceptable |
| 3 | Medium risk | Review required |
| 4 | Medium to High | Review Required |
| 5 | High Risk | Unacceptable |

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| **Date** |  | Review/Decision | Implement/Monitor/Review (Date of Next Review) | Resp | Closed |
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| RISK ASSESSMENT – CHECKLISTSReviewers To Include:  - Manager in charge of the new business bid, contract, project or department.  - Other staff as appropriate whose areas of knowledge has been identified as appropriate for the circumstances.  - Outside consultants as considered necessary to advise.  - If considered necessary, appropriate members of the Board (on site or by conference call). | **Potential Hazards**  Hazards can vary from the obvious such as basic safety, pollution and financial to areas such as company reputation.  The review team must consider all details and possible consequences of the proposal and satisfy themselves that there are no serious risks to the Group. Where risks are identified, but deemed to be acceptable these must be listed. | Potential ControlsControls must be put in place wherever possible to reduce risks to the minimum. A number of examples of typical controls follows. |
| e.g.  Board members  Operations  Technical  Risk/Marine/Safety  Accounting  Purchasing  Personnel  Legal  External  Other | e.g.  Safety of Life  Pollution  Ship Damage  Company Reputation  Human Resources – Shore and Seastaff  Financial  Financial Status of potential client  Commercial  Contractual  Sub-Standard V/L  High Risk Trading area (e.g. W.Coast USA)  Adverse publicity  High Cost of Bid Preparation  High manpower requirement  Upgrading costs  Client Loss  Client Friction  Lack of Expertise  Short term business  Accounting requirements (e.g. for stocklisted company)  Other  Or  NO RISKS ASSESSED | e.g.  Enhanced procedure – ashore  Enhanced procedure - afloat  Financial safeguards  Review of Client financial status  Review of Client office  Ship inspection prior committing  Budget preparation only after inspection  MOU to be agreed and signed  All costs to be agreed  Clear defined responsibilities  Legal controls  Safeguards written into contract  Agreed financial procedure  Agreed repair or upgrading process  Agreed handover & familiarisation process  Clear designation of responsibilities  Enhanced training programme  Recruitment of new or specialised staff  Reporting requirements  Vetting of contractor  References  Legal review of contract or documentation  Safety inspection  Onboard trainer  Y2K compliance to confirm  Nursery cell |