

Appointments Commission Risk Register

Category 1 Failure Tribunals System				
Nature of Risk	Likelihood of Risk (High/Medium/Low)	Impact of Risk (Severe/Moderate /Marginal)	Potential Mitigators	Attained (A) In progress/Ongoing (IP) Outwith AC control (OC)
1. AC appoints "wrong" people whether by reason of lack of competence /impartiality/qualification/ etc.	L	S	<ol style="list-style-type: none"> 1. KYA (Know Your Appointee) controls. Due Diligence policy & Systems in place to ensure sufficient information is available in respect of candidates. 2. Feedback process for those to be re-appointed. 3. KYT (Know Your Tribunal) ensure systems in place that AC fully understands needs of body it is appointing to in sufficient time to make the appointments required. 	IP OC A
2. AC cannot recruit sufficient Tribunal members of acceptable quality.	L	S	<ol style="list-style-type: none"> 1. Obtain feedback from those who DO apply – what makes it an attractive proposition. 2. Continue to report back to Chief Secretary any issues – e.g. not called to sit enough; not paid enough; too challenging; no training; lack of common pool of Tribunal members and panel of Chairmen, until resolved. 3. Ensure frequent rotation of those asked to serve on Tribunal. 4. To investigate an awareness raising program for the roles that the Commission advertises. 	A A OC IP
3. Members skills not kept up to date.	L	MOD	<ol style="list-style-type: none"> 1. Induction and subsequent training. 2. Ensure frequent rotation of those asked to serve on Tribunal. 3. Contribute to Cabinet Office review of Tribunal system. 	OC OC IP
4. Members fail to perform or act inappropriately.	L	S	<ol style="list-style-type: none"> 1. Have feedback reporting for Chairmen and Members. 2. Have a complaints system in place for other Tribunal Members and users of Tribunal. 3. Have suspension/termination process clearly determined. 	OC A A
5. Increasing workload due to additional tribunals/bodies being created/delegated to AC for appointment.	M	S	<ol style="list-style-type: none"> 1. Increase budget/support staff to the AC. 2. Impact Assessment by Establishing Authorities when creating a new tribunal. 3. Seek urgent assistance from Executive to address this issue. 4. Increase length of term of appointment to reduce frequency of requirement to recruit. 5. Structure of the Tribunal system. 6. Contribute to Cabinet Office review of Tribunal system 	OC OC IP A OC IP

Category 2 Loss of AC integrity/reputation				
Nature of Risk	Likelihood of Risk (High/Medium/Low)	Impact of Risk (Severe/Moderate /Marginal)	Potential Mitigators	Attained (A) In progress/Ongoing (IP) Outwith AC control (OC)
1. AC perceived to be biased in appointing.	L	S	1. Ensure all AC appointment processes remain clear and transparent and consistent with relevant legislation. 2. Provide defined avenue for challenge to AC decisions whether from candidates or Tribunal or third parties.	A A
2. AC perceived to be subject to undue influence of third parties including politicians.	L	S	1. Education exercise to ensure third parties understand they cannot influence AC decisions. 2. Maintain independence in face of specific query. 3. Open and transparent recruitment.	A IP A
3. AC appoints "wrong people".	L	S	1. KYA (Know Your Appointee) controls. Due Diligence policy & Systems in place to ensure sufficient information is available in respect of candidates. 2. Feedback process for those to be re-appointed. 3. KYT (Know Your Tribunal) ensure systems in place that AC fully understands needs of body it is appointing to in sufficient time to make the appointments required.	IP OC A
4. AC performs inadequately by reason of lack of resources (financial & human).	M	S	1. General Registry to ensure that AC has adequate budget to fulfil its responsibilities. 2. Access to staff of right grade and specialist knowledge to provide the right legal advice. 3. Reinforce awareness of external stakeholders of increasing remit of the AC arising from volume of delegated authority and new legislative appointments required. 4. Improve remuneration for the Chairperson. 5. Robust and ongoing support for electronic communication.	OC A IP OC OC
5. AC performs inadequately by reasons of lack of robust ICT soft/hardware	H	MOD	1. Provision of sustainable trouble free IT systems and training.	OC
6. Lack of Strategic Direction.	M	MOD	1. AC to have regular reviews of Policy/Strategy Meetings. 2. Meetings with third parties: Tribunal members; Govt; Govt Depts.; admin team.	A IP
7. Individual Claim – Petition of Doleance from aggrieved applicant.	L	S	1. Ensure appointment process clear with sound audit trail. 2. Ensure adequate indemnity cover in place for legal cover AC Members.	A A
8. Inappropriate record keeping.	L	MOD	1. Policy of record retention.	A
9. Increasing workload due to additional tribunals/bodies being created/delegated to AC for appointment.	M	S	1. Increase budget/support staff to the AC. 2. Impact Assessment by Establishing Authorities when creating a new tribunal. 3. Seek urgent assistance from Executive to address this issue. 4. Increase length of term of appointment to reduce frequency of requirement to recruit.	OC OC IP A

Category 3 Impugning Reputation of IOM				
Nature of Risk	Likelihood of Risk (High/Medium/Low)	Impact of Risk (Severe/Moderate /Marginal)	Potential Mitigators	Attained (A) In progress/Ongoing (IP) Outwith AC control (OC)
1. IOM seen as jurisdiction which does not observe Human Rights Obligations.	L	MOD	1.Ensure system of appointment and admin support to AC is as effective as possible. 2. Operate open and objective recruitment process.	IP A
2. Questions asked about island's independent status.	L	MOD	1. Ensure system of appointment and admin support to AC is as effective as possible. 2. Operate open and objective recruitment process.	IP A
3. Appointments system falls into disrepute or out of date.	L	MOD	1. Review best practice in other jurisdictions periodically. 2. Regular policy/Strategy Meeting.	IP A
4. Increasing workload due to additional tribunals/bodies being created/delegated to AC for appointment.	M	S	1. Increase budget/support staff to the AC. 2. Impact Assessment by Establishing Authorities when creating a new tribunal. 3. Seek urgent assistance from Executive to address this issue. 4. Increase length of term of appointment to reduce frequency of requirement to recruit.	OC OC IP A

Chair.....*Alan G. Breen*.....

Date.....*20/3/2019*.....

Agreed by the Appointments Commission