RISK REGISTRY
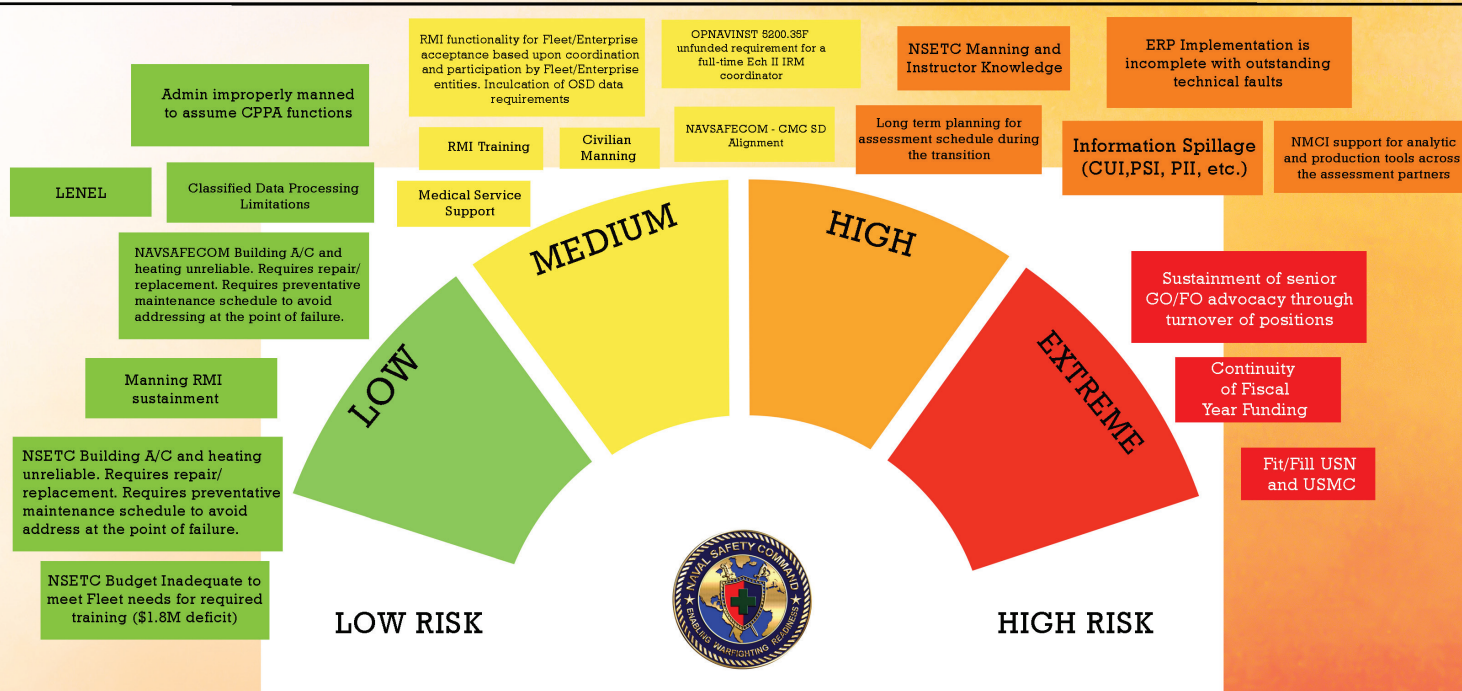# Frequently Asked Questions

NAVAL SAFETY COMMAND RISK REGISTRY

BLUF

- Commanders should document risks and issues in a risk registry using a standardized template to enable oversight, identification of risk accumulation, decision-making and risk communication up and down the chain of command.

- Similar to developing Commander's Critical Information Requirements (CCIR), developing a risk registry requires Commanders to THINK through the RISK they IDENTIFY as critical, what RISK they want COMMUNICATED and where that RISK needs to reside for appropriate ACCOUNTABILITY.

BACKGROUND

Chapter 2, Responsibilities and Accountability (A2-1) of the Navy Safety and Occupational Health Manual (OPNAV M-5100.23 CH-1) outlines the responsibilities, accountability and requirements for compliance under the Navy Safety Management System.

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Q1. What is a risk registry?
A1. A command's risk registry is a comprehensive repository of identified risks that faced by the command and spanning their entire mission portfolio. Risk registries should communicate how those risks can could impact the command and actions the command implements to resolve or mitigate thate risk. This also includesing communication of the risk to the Accountable Person (AP). A risk registry provides a big-picture view of major risks that enable commanders to prioritize resources and efforts to achieve strategic objectives. Risk registries assist leaders in identifying areas where risk is accumulating or is amplified by multiple overlapping issues. Thesey are not simple lists of hazards and risks, especially at the higher echelons of command. Risk registries should be a compilation of similar risks and hazards that commands draw on to derive and address the systemic causality. This pragmatic approach is critical to addressing root causes and implementing enduring correction vice tracking deficiencies for closure.

A risk registry is a communication tool and a tool for thought and analysis. At the command-level a risk registry is not a "facilities discrepancy list" or "zone inspection checklist" (e.g. "Light fixture inoperative in passageway; or "Roof leaks in building SP-91"), particularly as the registries are conveyed up the chain of command. It's not a list to track gripes to closure; theclosure; the intent is to use it to identify and fix the root causes.

Q2. How does a risk registry fit into Navy's Integrated Risk Management (IRM) programs?
A2. The Navy's IRM consists of three components, Internal Controls Over Reporting-Finance (ICOR-F), Internal Controls Over Reporting-Operations (ICOR-O) and ERM.

ERM is the Department of the Navy's (DON) approach to capturing the overall risk to the enterprise mission. Under the DON ERM framework, "risk is defined as all sources of uncertainty – threats and opportunities – that could appreciably impact successful achievement of the enterprise management priorities and mission-support objectives articulated in SECNAV Strategic Guidance."

Under ERM, a risk registry is a tool for tracking risk issues that prevent mission completion or introduce higher levels of risk to operations. An effective risk registry is a means to feed critical risk information to the ECH I, II, III which in turn enables those echelon commanders to track and respond to gaps.
Risk registries are required for every Navy command, regardless of echelon. In addition to capturing their own mission risks, cCommanders are also responsible for tracking the mission critical risk items of their subordinate commands.

Q3. What is a risk registry in practical terms?
A3. To manage risk, we must understand its impact. A risk registry provides a way to capture areas of risk once they are identified.

A risk registry is simply a collection of issues or conditions that create or increase risk or reduces resilience. In the context of Navy safety management system requirements, commands are required to develop and maintain a risk registry to use as a tool to aid in self-awareness, self-assessment, self-correction and continual learning.
The risk registry should be a living document or tracker used to log or document and track issues that impose risk to an organization's people, its assets (property, equipment, materiel, etc.), and/or the organization's ability to perform its mission.

Example line items include resourcing shortfalls (i.e., funding, manpower gaps, spare parts availability, etc.). Other examples include facility degradation, high operational tempo and exhibiting an inability to share and apply lessons learned.

Q4. What is the value of a risk registry?
A4. Issues that introduce risk to an organization and its operations cannot be resolved or mitigated if they are not communicated to the appropriate Accountable Person. The Accountable Person is the person with the ability to fund or fix the issue.

A risk registry enables a command to document, and track identified risks.

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As a living document, an up-to-date risk registry enables leadership and others to see issues and conditions that introduce or increase risk to the operating environment or specific event, and either come up with way(s) to mitigate the issue locally (at the unit or command level) or, elevate the risk to the next higher echelon or authority through proper communication.

A properly maintained and current risk registry supports prioritizing resources and helps personnel better identify areas where risk is accumulating or compounded by multiple overlapping issues, i.e., gapped supervisory positions, degraded equipment or an unqualified night watch team.
A risk registry helps all personnel manage risk effectively by ensuring issues and their impacts are communicated up, down and laterally throughout a command as appropriate. Of equal importance, a risk registry enables a command to identify risk areas or situations that require action by their Immediate Superior in Command (ISIC).

Q5. Who is required to establish and maintain a risk registry?
A5. Per the Navy Safety and Occupational Health Manual, OPNAV M-5100.23 (18 June 2024), every unit and command at every echelon is required to establish and maintain a current risk registry.
- Everyone in the unit or command is responsible for notifying appropriate leadership when a potential risk is identified.
- Each command should establish a process/procedure to capture identified risks, how the risks are communicated, and how the risks are accounted for and/or mitigated at the appropriate level and assigned by the Accountable Person.
- Commanders are responsible for keeping the risk registry current as well as its continual review.

Q6. Is there a risk registry template?
A6. Per the DON Enterprise Risk Management Framework (May 22, 2024) the ERM concept is, "more than a function, program, or department – it is the culture, capabilities, and practices that organizations integrate with strategy-setting and apply when executing that strategy, with a purpose of managing risk in crating, preserving, and realizing value." As an organization's culture, capabilities and practices are unique to that command, it is to their benefit to be able to tailor their risk registries to best suit their specific and unique requirements and environment.

As a result, there is not one standard form or way to list or track the risk areas or items in your organization.

Organizations can develop and maintain a risk registry in an MS Word document, Excel spreadsheet, SharePoint application or other Department of Defense-approved platform. The objective is to create an effective and holistic tool to help your organization identify, communicate and account for risk at the appropriate level.

If effectively updated and maintained, members at all levels within a command or unit, along with their superior command, will better understand the volume of risk and how to best mitigate the risk.

Q7. What kind of information should be captured on a risk registry?
A7. TThe risk registry should list risks that impact the mission, how and to whom the risks are communicated, and how to mitigate and account for those risks at the appropriate level.
A risk registry should document all potential and existing risks to an organization's work environment, people, property and materiel as well as processes and procedures. For example, poorly written or outdated policies introduce risk to tasks and operations.At a minimum, a risk registry should state:

- The risk issue or condition and when it was identified
- Potential impact to operation or mission,
- Potential impact if not properly mitigated,
- How the risk is communicated and to whom/when, and
- The appropriate Accountable Person, i.e., the person who holds the responsibility, decision-making authority and resources to fund or fix the issue.

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Some issues can be adequately addressed within the command itself. When identified risk factors or conditions cannot be addressed locally (within the unit), and are pushed/communicated to the next level, that information and associated recommendations should be included on the risk registry.

References:
Risk Management Framework for DoD Systems, DoD 8510.01 (19 JUL 2022)
Navy Safety and Occupational Health Manual, OPNAV M-5100.23, CH-1 (18 JUN 2024)
Department of the Navy Safety Program, SECNAVINST 5100.10L (09 APR 2021)

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