

## Risk Register Terms of Reference

1. This document has been compiled to help demonstrate that all significant risks have been considered and controls put in place as appropriate. Reliance should not be placed on this document for any other purpose.
2. Where a control owner is noted this individual or group is ultimately responsible for ensuring this control in in place. Operational duties for the control can be delegated but responsibility can not be. It is noted that consideration of risks is ultimately the responsibility of all directors.

## Glossary

Term	Definition
Full time staff	Adventure 2013 directors who are on the vast majority of the legs- James, Clare, Jon, Collette.
Staff	All Adventure2013 directors. Note that this is not a legal definition and is used to help clarify between all crew and Adventure2013 directors
Crew	All individuals participating in at least one full leg of the whole expedition.

Operational Risks- Voyage						
Risk Ref	Risk and Impact	Control Ref	Control	Control Owner	Date implemented/planned	Notes
1	<b>Leg or voyage not completed or delayed due to:</b>					
1a	<b>Catastrophic boat failure</b>	1a1	Survey performed pre departure by qualified surveyor to ensure no significant defects pre departure: CAT 0 survey due winter 2011.	Clare	July/Aug 13	n/a
		1a2	Test trip in week prior to departure and pre departure checks	James	Sep-13	n/a
		1a3	Engine spares, sail repair kit and tools onboard for emergency repairs at sea if needed and plans for jury rig. Sat phone for ordering parts whilst on the move.	Clare	July 13 onwards	n/a
1b	<b>Permissions to sail not granted by authorities. Higher risk authorities: Argentina</b>	1b1	Documented checks with relevant authorities/other similar trips. Permits applied for well in advance. Alternative route plans in place incase of permit refusal	Clare	Oct-11	n/a
1c	<b>Adverse weather</b> (skipper considers planned itinerary inappropriate)	1c1	Skipper monitoring weather forecasts on a daily basis to ensure that the boat is not at sea in inappropriate conditions when avoidable.	James	Sept 13 onwards	n/a
		1c2	UK weather monitoring if onboard computer system is down.	Tom/UK agent	Sept 13 onwards	n/a
		1c3	Details of expected weather patterns researched to help ensure that higher risk weather patterns are avoided.	Clare	Jul-11	See details of research on website
		1c4	Consultation with staff from boats who have completed similar voyages and Adventure2013 staff experience of Antarctica conditions (Clare and Collette)	James	Jul-11	Not documented.
1d	<b>Key staff (Skipper or 1st Mate) incapacitated</b>	1d1	2 permanent staff on board will have their ocean master qualification and sufficient experience to skipper the vessel if required (Clare, James and Jon). If James is incapacitated Clare would take on skipper role. Jon can assume the 1st mate/skipper role if required.	Clare, James, Jon.	Sept 13 onwards	Copies of qualifications and relevant experience of all 3 staff members listed on the website
		1d2	Other possible replacement skipper identified: Ian Nicholls	Clare	Aug-11	Details of replacement skipper qualifications held internally.
		1d3	Alternate 1st mates identified: promotion of crew such as Jon Sedon, Andrea Seadhouse, Jim Clarke, Chris Denyar	Clare	Aug-11	Details of replacement skipper qualifications known internally.
1e	<b>Adverse security/political situation.</b>	1e1	UK monitoring of the FCO website twice weekly. Relevant information communicated to the boat through phone (sat phone if required).	Tom/UK agent	Sept 13 onwards	SOPs to include turning the sat phone on for 30 mins a day
		1e2	Skipper/1st mate to seek local advice on the security situation when on the ground	Clare and James	Sept 13 onwards	n/a
1f	<b>Emergency medical situation (delaying itinerary or causing the trip to divert off planned itinerary)</b>	1f1	All crew and staff contractually obliged to provide documentation of a full medical check within 2 months of the start of the voyage. All serious medical conditions will need to be cleared by the committee before the individual is accepted. Details of medical questionnaires will be held on the boat and by the UK agent.	Committee	July 13 onwards	Details of a dental checkup may also be required. Check whether we need to register with the ICO (data protection act)- Jon.

		1f2	Clare 1st responder trained (First aid and medical care aboard ship) and kept current	Clare	2010 onwards	Scan of certification available on the wesite
		1f3	James and Jon first aid trained (First aid and medical care aboard ship) and kept current	James and Jon	Since a long time ago	Scan of certification available on the wesite
		1f4	All crew and staff contractually obliged to provide documentation of their insurance cover 1 month prior to the start of their voyage. This will be checked by Adventure2013 staff to ensure that it covers all areas required for boating including air casevac from the boat.	Tom/UK agent	Aug 13 onwards	n/a
		1f5	All crew are contractually obliged to have comprehensive medical insurance that covers air casevac	Clare	Aug 13 onwards	n/a
		1f6	Medical handbook and comprehensive medical kit (in line with cat 0 boat requirements) to be held on board the boat at all times. Two member of staff with hold the Medical Care Aboard Ship qualification necessary to use it.	Clare	Sept 13 onwards	Oxford book of expedition medicine comprehensive and designed for remote medical care. To be taken on the exped. MCA Ships Captains Medical Guide and Sat Phone for receiving Radio Medical Advice.
1g	<b>Wild Blue Ltd (Boat operator) insolvency and boat repossession</b>	1g1	Monies paid to Wild Blue Ltd held in an escrow account (administered by the bank) and only released to Wild Blue Ltd on completion of significant proportions of the trip. In the event of bankruptcy of Wild Blue Limited before the trip commences the vast amount of money could therefore be returned to crew members. In the event of Wild Blue Ltd insolvency during the voyage it is likely that it would be a financially sound decision by the insolvency practitioner that the trip be continued to completion (in return for continued payments for the voyage).	Tom	Dec 11 onwards	See details of the boat contract on the website.
		1g2	Individuals advised to take out trip cancellation insurance that would allow them to recover the cost of the flights if the trip was cancelled.	Clare	Oct 11 onwards	n/a
		1g3	Contact main creditors of Wild Blue Limited (Royal Bank of Scotland holds partial mortgage on boat) and to gain assurance that the trip would be continued in the event of Wild Blue Ltd insolvency.	Tom	Oct/Nov	Costs/Benefits to be considered after most recent accounts obtained.
1h	<b>Insufficient food, water or kit for voyage/leg for all crew members</b>	1h1	Emergency rations/water to be held for 14 days in case of becalming/delays. These rations would not be consumed unless in emergency situation.	James	Sept 13 onwards	n/a
		1h2	Detailed consideration of food required to be completed on a rolling basis based on crew food requirements, numbers and length of trip.	Clare	Sept 13 onwards	This will not be formally documented as will be completed while on trip.
		1h3	Details of dietary requirements to be collated with medical information 1 month prior to start of voyage. Communicated to boat.	Tom/UK agent	Aug 11 onwards	Add to responsibilities of UK agent.
1i	Wild Blue Ltd not delivering boat on time or in appropriate condition to start trip on time	1i1	Survey to be completed by surveyor 2 months prior to departure	James	Jul-13	n/a
		1i2	Boat contract to state pick up is at least 1 week prior to departure	Committee	Dec-11	n/a
		1i3	Regular contact with Wild Blue to ensure that the timetable is on track.	Clare	Ongoing	n/a
2	<b>Crew member injured/ killed due to:</b>					

2a	<b>Failure of equipment</b> (for example boom, winches etc)	2a1	Survey by boat surveyor to check equipment within 2 months of the start of the voyage to gain assurance that the boat meets UK safety standards.	James	Jul-11	n/a
		2a2	Routine maintenance of boat and regular checks to be carried out at regular intervals throughout the trip	Jon	Sept 13 onwards	n/a
		2a3	Test trip in week prior to departure and pre departure checks to test safety of equipment	James	Sep-13	n/a
		2a4	Crew members are contractually obliged to have appropriate insurance to ensure they can get medical attention at any stage of the voyage. This could reduce the impact of an incident.	Clare	Aug 13 onwards	n/a
		2a5	A UK agent will be available throughout the trip to help coordinate casevac if required. This could also help reduce the severity of consequences of an incident.	Tom	Sept 13 onwards	n/a
2b	<b>Inappropriate action by crew or staff for voyage environment</b>	2b1	All crew to be briefed (including demonstrations where appropriate) by the skipper on the dangers of equipment and environment (including dangers of sailing, exposure etc)	James	Sept 13 onwards	n/a
		2b2	Kit list to be issued to all crew to ensure all crew have appropriate kit for the environment. Kit check to be performed by permanent staff to ensure kit list followed.	James	May 13 onwards	n/a
		2b3	Full time staff to conduct ongoing risk assessments and monitor crew condition	All full time staff	Sept 13 onwards	n/a
		2b4	Skipper to put ashore any crew member he considers a risk to themselves or other crew members	James	Sept 13 onwards	n/a
2c	<b>Adverse Weather conditions</b>	n/a	See controls 1c1 to 1c4	See controls 1c1 to 1c4		
2d	<b>Negligence of staff</b>	2d1	Skipper qualified yacht master instructor. Up to date relevant experience.	James	Sept 13 onwards	n/a
		2d2	Clare (1st mate) and Jon (reserve 1st mate) both ocean yacht master qualified with up to date relevant experience.	Clare and Jon	Sept 13 onwards	n/a
		2d3	All individuals on the boat full time have clean records demonstrated through their continued work with the ocean youth trust.	James, Clare, Jon, Collette	Ongoing	n/a
		2d4	Colette experienced sailor and will hold at least a coastal skipper qualification prior to the trip	Collette	Sept 13 onwards	n/a
		2d5	The boat will operate under Standard operating procedures agreed prior to the voyage departure. This will cover emergency situations.	James	Sept 13 onwards	n/a
		2d6	Subscription of Adventure2013 Ltd to IAATO/other relevant organisations that can provide guidance and a support network for vessels in the southern ocean and Antarctic waters	Clare	2013 onwards	n/a
		2d7	There will be no under 18 crew members therefore a degree of common sense can be expected.	Committee	Ongoing	n/a
2e	<b>Inability of Adventure2013 to respond to incidents on a timely basis</b>	2e1	Trip to be registered with the Foreign and Commonwealth office.	Clare	2013 onwards	n/a
		2e2	Trip to be registered with British embassies in relevant countries	Tom.	2013 onwards	n/a

		2e3	Colour scan of passports (main pages), medical details and insurance, Next of kin details to be held electronically by UK agents and copies to be held on the boat also.	Clare	Oct 2011 onwards	n/a
		2e4	Trip to be registered with IAATO meaning that other boats in the area are aware of our presence and provide a theoretical back up network.	Clare/James	2013 onwards	n/a
		2e5	There will be 2 UK contacts on duty at any one time on a rotation basis (1 main contact, 1 backup contact). UK agents will have access to all trip information and will be able to	Tom.	Sept 13 onwards	n/a
		2e6	The boat will be equipped with EPIRB (Electronic position indicating radio beacon), satellite phone, flares and all other equipment required for a category 0 vessel	James	Sept 13 onwards	n/a
2f	<b>Insufficient food/water/fuel for legs where far from help (Antarctica, South Georgia, Atlantic crossings)</b>	2f1	Sufficient provisions. to be carried for an extra 14 days over the length of the trip. Fuel to be refilled before each long trip	Clare/James	Sept 13 onwards	n/a

Finance Risks

Risk Ref	Risk and Impact	Control Ref	Control	Control Owner	Date implemented/planned	Notes
1	<b>Risk trip is cancelled due to financial consideration:</b>					
1a	<b>Wild Blue become insolvent.</b> See also operational risk	1a1	Monies paid to Wild Blue Ltd held in an escrow account (administered by the bank) and only released to Wild Blue Ltd on completion of significant proportions of the trip. In the event of bankruptcy of Wild Blue Limited before the trip commences the vast amount of money could therefore be returned to crew members. In the event of Wild Blue Ltd insolvency during the voyage it is likely that it would be a financially sound decision by the insolvency practitioner that the trip be continued to completion (in return for continued payments for the voyage).	Tom.	Nov/Dec 2011	Discussed with HSBC. Needs further consideration from committee. Tom to contact Bank of Scotland to discuss possibilities.
		1a2	Wild Blue Ltd 2010 accounts obtained from companies house website	Tom.	Aug-11	NB: Short account format used as small company. Mortgage taken out on Elinca. Mortgage details and documentation of payment agreed to be sent by Angus (Wild Blue Ltd).
		1a3	Wild Blue Ltd 2011 accounts to be obtained before boat contract obtained	Tom.	Nov/Dec 2011	Accounts currently late per Companies House (due Sept 2011). Angus' accountant will send these through when complete.
		1a4	Structure of ownership and directors investigated.	Tom.	Aug-11	3 family members plus Angus, 1 family friend and 1 rich benefactor 'silent partner'.
1b	<b>Insufficient crew members to make trip viable</b>	1b1	Survey of interest to ensure sufficient interest to make trip viable.	Cliggy/Clare	Jul-11	n/a
		1b2	Prices set so break even point on the trip is approximately 80% of berths taken.	Committee	Aug-11	n/a
1c	<b>Severe damage caused to Elinca</b> (due to weather or otherwise)	1c1	£10k reserve in budget for damage replacement. £5k-£7k for a main sail.	Committee	Aug-11	n/a
2	<b>Financial viability of trip endangered due to:</b>					

2a	<b>Individuals pay deposit (£100) and not additional payments or Individuals pay deposit but not additional payments</b>	2a1	Clause in the crew contract to allow Adventure2013 Ltd to resell the place and keep any money paid. Deposit to be returned at the end of the trip on condition of a sufficient surplus being made and at the discretion of committee.	Committee	Oct-11	n/a
		2a2	Individuals crew members generally known well and considered trustworthy	Committee	Ongoing	n/a
2b	<b>Immigration Fees and fees/fines for commercial vessels- Argentian and Chile</b>	2b1	Contacted fixer in Argentina who can help us to avoid any of the triggers that Argentinian authorities consider. Also we're not not a commercial vessel which should help.	Clare		n/a
2c	<b>The pound weakens against other currencies to be spent:</b> Our spend in foreign currencies is likely to be approximately:  Brazilian real: £8.2k  Euros: £12.3k  Argentinian peso: £16.5k	2c1	Tom to look into us offsetting exposure to forex and costs of this.	Tom.		Oct 2011. Ben consulting HSBC specialists. Derivatives or purchase of foreign currency possible.
2d	<b>Individuals injured and sue company</b>	2d1	Professional insurance as a skipper to cover negligence.	James		n/a
		2d2	Measures in place to minimise risk of injury- see operational risk 2.		See operational risk 2	
2e	<b>Budget excludes significant costs or significantly underestimates cost</b>	2e1	Budget checked by all committee members (Committee has wide ranging expedition budget experience and reviewed by chartered accountant)	Committee	Sep-11	Other costs not included in budget (as no accurate costing and not considered significant cost or built into other costs): extra insurance if required, exchange costs, communication costs and committee expenses.
		2e2	Business link consulted to ensure no compliance costs have been excluded	Tom	Sep-11	n/a
		2e3	Budget checked by individuals who have organised similar trips to identify exclusions	Clare	Oct-11	n/a
		2e4	All costs evidence based	Committee	Jul-11	n/a

		2e5	Generous budgeting of expected costs	Clare/James	Jul-11	n/a
<b>Financial 'buffer' in the budget reduced by:</b>						
2f	<b>Incident happens that is not covered by insurance</b>	2f1	Boat contract will define the level of insurance that is required for Elinca by Wild Blue Limited.	Committee	Dec-11	n/a
		2f2	Standard operating procedures and insurance will be in place to reduce the risks of any incident not covered by insurance and ensure that insurance is not invalidated by crew/staff actions	Tom and James	Sept 13 onwards	It is considered that all significant risks will be insured.
3a	<b>Loss of possible income of £20k VAT reclaim as VAT classification deemed inappropriate by HMRC</b>	3a1	Advise sought from other similar organisation on their tax status.	Clare	Oct-11	Advised that we qualified as transport and were therefore 0 rated by other organisations that ran similar trips. Current budget considers a worst case scenario that we are rated as a sail training organisation and therefore exempt.
		3a2	VAT reclaimed on boat contract to be held until it is clear that HMRC agree with our VAT classification.	Committee	Ongoing	n/a
3b	<b>VAT receipts not maintained so can't claim VAT back</b>	3b1	Ensure that the receipt for the boat contract is VAT compliant.	Tom	Nov/Dec 2011	n/a
3c	<b>Have to pay corporation tax on any surplus generated</b>	3c1	Year end date to be set after trip end so there is sufficient time to disperse any surplus from the trip pre year end	Tom	Oct/Nov 11	n/a
3d	<b>Minor Damage to Elinca by crew</b>	3d1	Estimated damage deposit budgeted as cost already so accidental breakages can be paid out of central funds.	Committee	Aug-11	n/a
		3d1	Crew briefing should help reduce unintentional damage.	James	Sept 13 onwards	n/a
3e	<b>Additional expenditure due to disagreement on definition of wear and tear with owner (reasonable wear and tear to be covered by the owner contractually)</b>	3e1	To be discussed with Angus prior to departure	Clare	Nov/Dec 11	Minimal impact- max that could be taken is damage deposit.
		3e2	Contract states 'reasonable wear and tear' to be paid for by Wild Blue Ltd. This could be argued in court.	Committee	Aug-11	n/a
3f	<b>Inappropriate use of funds</b>	3f1	Committee to clear use of funds over £100 before committing to expense	Committee	Oct 11 onwards	n/a



3g	<b>Fines due to appropriate accounts not maintained</b>	3g1	Records of costs for each voyage to be sent back to the UK after each leg to ensure accounts kept on a timely basis	Tom.	Sept 13 onwards	n/a
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Reputational Risks

Risk Ref	Risk and Impact	Control Ref	Control	Control Owner	Date implemented/planned	Notes
1a	Individuals miss flights/can't attend as trip delayed	1a1	Individuals advised to to book flights at least 1 day before their trip begins and at least 2 days after the end of the flights.	Committee	Oct-11	n/a
2a	Individuals ill on the trip and not appropriately insured	2a1	Individuals advised to get appropriate travel insurance that would cover medical costs	Committee	Oct-11	n/a
		2a2	Medical insurance for all crew members to be checked by Adventure2013 before departure (crew members contractually obliged to provide this)	See operational control		n/a
3a	Individual injured/killed	3a1	See operational risks tab			
4a	Financial issues/inappropriate use of funds by committee	4a1	See financial risks tab			
4a	Crew members drop out due to unforeseen circumstances	4a1	Committee to return funds at the end of the trip if a surplus is made and at the discretion of the committee	Committee	Jun-14	n/a
5a	Crew sign up to trip with misconception of voyage	5a1	Briefing of all crew members committing to voyage	Committee	Jul 11 onwards	n/a
		5a2	Style of voyage document including in contract	Committee	Oct-11	n/a