

| <u>Risk</u>  | <u>Responsibility &amp; monitoring</u> | <u>Likelihood</u> | <u>Impact</u> | <u>Controls</u>   |
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| <b>A. Continuation of Society.</b>   |  |                   |               |   |
| A.1 Inadequate strategic planning & direction  | Chair & Officers                       | Low               | High          | Pilot Study supported by NADFAS House to create new Executive & Team roles aimed at refreshing operations and forward planning. Evaluation process established with timetable.  |
| A.2 Inadequate succession planning   | Chair & Officers                       | Medium            | High          | All Executive Committee Members to talk to members to explore their interests with a view to them joining the Executive and/or Teams in the future. Practice of co-option to continue.<br><br>Active recruitment of volunteers. |
| A.3 Inability to secure appropriate number for Committee   | Chair & Officers                       | Medium            | High          |   |
| A.4 Inability to appoint appropriate persons as Officers   | Chair & Officers                       | High              | High          |   |
| A.5 Insufficient skills- mix/expertise on Committee  | Chair & Officers                       | Medium            | High          | Executive Committee to set out succession to all 6 Executive roles for 2018-19. <i>Actioned for June—July 2017.</i>   |
| A.6 Low membership numbers   | Chair & Officers                       | Low               | High          | From October 2012 spreadsheet to record number of attendees & visitors at lectures to identify patterns and trends  |
| A.7 Conflict of interest: personal, political views, against ideals & objectives of NADFAS and/or Fylde DFAS | Chair & Officers                       | Low               | Med           | Standing item “Declarations of interest” on agenda for Executive committee Meetings. If appropriate member to leave meeting whilst discussion in progress.  |
| A.8 Adverse publicity/reputational risk  | Chair & Officers                       | Low               | Med           | All written information published on behalf of the  |

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|  |           |     |      | <p>Society should be prepared and presented in full compliance with the 'Procedure for preparation &amp; presentation of documents &amp; booklets' [ <i>approved by ECM January 2017</i>].</p> <p>Material issued by individual members to include a statement that '<i>the contents and opinions reflect their own view and not necessarily those of FDFAS</i>'.</p> <p>Communications Team Leader to respond accordingly if situation arises.</p>   |
| <b>B. Finance</b>  |           |     |      |   |
| B.1 Inadequate/incomplete budgetary controls and financial reporting, error, fraud | Treasurer | Low | High | <p>Treasurer's Report to monthly Executive Committee Meetings; annual external audit of accounts; procedure for claiming expenses includes requirement for supporting evidence, signatures of claimant and organisation on claim forms; two signatures required on cheques. Appointment of one other person to familiarise him/herself with Society's finances and their management who would cover in the long term unplanned absence of the Treasurer.</p>  |
| B.2 Insufficient funds, no reserves  | Treasurer | Low | High | <p>Maintain a level of reserves to protect the Society's sustainability and provide capacity to manage unforeseen financial difficulties. Reserves Policy regularly reviewed by Committee with regard to financial position and commitments. The Society policy on general reserve funds is that the level of reserves will be calculated by two methods using the higher amount to determine the level of reserves required at any time: [i] amount of required reserves will be a full year's expenditure based on the last audited accounts. No account of expenditure on SIDs, tours/visits will be included. [ii] to maintain a level of free reserves</p> |

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|   |                     |      |        | [excluding Good Causes Account] equivalent to 6 months undesignated expenditure plus an amount to cover future commitments for speakers' fees, rents and capital commitments etc.   |
| B.3 Insecurity of assets                                  | Treasurer           | Low  | Med    | Register kept by Treasurer & Secretary. Annual verification of information. Secure storage facilities rented and supervised by Society Archivist.   |
| B.4 Banking arrangements/uncertainty of security of funds | Treasurer           | Low  | High   | Banking arrangements to be reviewed annually by the Executive Committee or at such other time as turmoil in the financial markets may occur.  |
| B.5 Application of Good Causes Account                    | Chair & Officers    | Low  | Medium | Manner in which the account is used to be reviewed annually and feature in the Society's Annual Report.   |
| B.6 Cash handling   | Treasurer           | Low  | High   | Members to be encouraged to keep to minimum cash transactions and Officers/organisers who handle/hold to maintain appropriate records.  |
| <b>C. <u>Information Technology</u></b>                   |                     |      |        |   |
| C.1 Failure to protect data                               | Chair & Officers    | High | High   | No information about members to be given to external sources or to members except selected Executive Members and then only with the Chair's approval.   |
| C.2 Insecurity of data                                    | Chair & Officers    | Med  | High   | Chair, Secretary, Treasurer, Programme Secretary & Membership Secretary to have access to DFAS data on the computers of the latter 4. Policy to clarify where back-up data is held and access to it. Executive to have member with role for IT development. |
| <b>D. <u>Successful programme of lectures, SIDs</u></b>   |                     |      |        |   |
| D.1 Cancellation of lecture at short notice               | Programme Secretary | Low  | High   | Policy "Cancellation of lectures" [2010]  |

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| D.2 Lecturer unable to attend at short notice                                     | Programme Secretary                                     | Low      | Low  | Alternative lecture and DVDs available.   |
| D.3 Venue not usable at short notice [eg. flooding]. Loss of electrical power     | Programme Secretary                                     | Low      | High | If > 1 week explore alternative venue. If < 1 week implement "Cancellation of lecture Policy".<br><br>Consider identification of alternative venue.   |
| D.4 Inadequate variety of content   | Programme Secretary                                     | Low      | Med  | Integrated planning with analysis over a 3-year period. Executive approval of proposed programme.   |
| D.5 Failure of projector/computer   | Programme Secretary                                     | Low /med | High | Regular maintenance & servicing of equipment managed by Programme Secretary. Reciprocal arrangement with other local society.   |
| D.6 Lack of procedure for dealing with emergencies [eg. illness, accident, fire]  | Chair & Officers  | Low      | High | Policy "Safety & First Aid" [2009]. Fire evacuation practised annually & Fire Stewards on duty at all lectures.   |
| D.7 Insecurity of venue   | Chair & Officers  | Low      | High | Confirmation of bookings 2 yrs in advance   |
| D.8 Unexpected unavailability of SID Coordinator                                  | Team Leader: Programme                                  | Low      | High | "Back-up Committee Member" to be agreed at time of organisation and to be available on the day.   |
| <b>E. <u>Successful visits, tours, events</u></b>                                 |   |          |      |   |
| E.1 Problems with transport<br><br>(no show, poor driver, poor vehicle standards) | Team Leaders: Programme & Events [ <i>as relevant</i> ] | Low      | High | For over-night stays travel with officially recognised company -ABTA/ATOL bonded.<br><br>Supervision during journey, seatbelts available for all passengers.<br><br>For day trips travel with local reputable company.<br><br>Drop off / pick up times and places agreed. |
| E.2 Problems with venue   | Team Leaders: Programme & Events [ <i>as relevant</i> ] | Low      | High | Frequent checks beforehand with venue or Tour Operator. Ensure latter sends information regarding   |

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|  |   |     |      | <p>expectation of mobility, early starts, catering etc.</p> <p>Emergency meeting point established.</p> <p>Wet / bad weather arrangements in place.</p>   |
| E.3 Financial failure of tour operator                                 | Team Leaders: Programme & Events [ <i>as relevant</i> ] | Low | High | <p>Travel with officially recognised company—ABTA/ATOL bonded.</p> <p>Terms &amp; Conditions document sent on booking</p>   |
| E.4 Lack of procedure for dealing with emergencies: accident, sickness | Chair & Officers  | Med | High | Emergency telephone numbers and next of kin numbers required for each of the group as standard procedure on <u>all booking forms</u> .  |
| E.5 Health/disability problems   | Team Leaders: Programme & Events [ <i>as relevant</i> ] | Low | Med  | Executive Committee members/Team Leaders/organisers must not assume role of carer in the event of person with identified health/disability issues booking on a tour/visit. The person to be accompanied by his/her own carer. |
| E.6 Late cancellations   | Team Leaders: Programme & Events [ <i>as relevant</i> ] | Low | Med  | Policy 'Events organisers' fees & refunds [2011]'. Booking conditions to be sent out with invoice. The latter to state the deposit paid and the remaining balance with due date.  |

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| E.7 Lack of procedure for organising visit/tour                            | Team Leader: Programme | Low | High | <p>Procedure ---to include information on forms, back-up staff and roles/responsibilities if appropriate, free places.</p> <p>Visit Report Forms to be fully completed and returned to NADFAS House [Education Dept.] by Team Leader: Programme.</p>  |
| E.8 Injury to member or third party through negligence of Executive Member | Chair & Officers       | Low | High | <p>Ensure <u>up-to-date</u> copy of NADFAS Insurance Summary showing cover of liability for injuries due to negligence is available to view.This to be downloaded from the NADFAS website in January and displayed on the Fylde DFAS website.</p> <p>Two people to stay with ill person until help arrives i.e.</p> |

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|  |   |     |      | ambulance / doctor.  |
| E.9 Unavailability of Visits /Tours Coordinator                    | Chair/Officers  | Low | High | Back-up Committee Member (agreed at time of organising tour) to be available for all visits/tours.   |
| <b>F. <u>Compliance with legislation:- national and NADFAS</u></b> |   |     |      |  |
| F.1 Failure to ensure DBS checks are in place where appropriate    | Chair & Officers  | Low | High | DFAS member without clearance from the Disclosure & Barring Service * [DBS]to be accompanied <u>at all times</u> by person with clearance if relevant. |
| F.2 No policy regarding aspects of health and safety [eg. fire]    | Chair & Officers  | Low | High | Policy "Safety and First Aid" [2009]; annual rehearsal of evacuation procedure for lecture hall.   |
| F.3 No policy for working with children and vulnerable adults      | Chair & Officers  | Low | High | Policy "Permission to use photographs and examples of artwork" [2012] and Policy "Working with children and vulnerable adults2 [2012]                  |
| F.4 Policies not compliant with current legislation                | Chair & Officers. [ <i>delegated to Policy Review &amp; Risk Management Coordinator</i> ] | Low | High | Annual review of policies reported to Executive Committee in February.   |