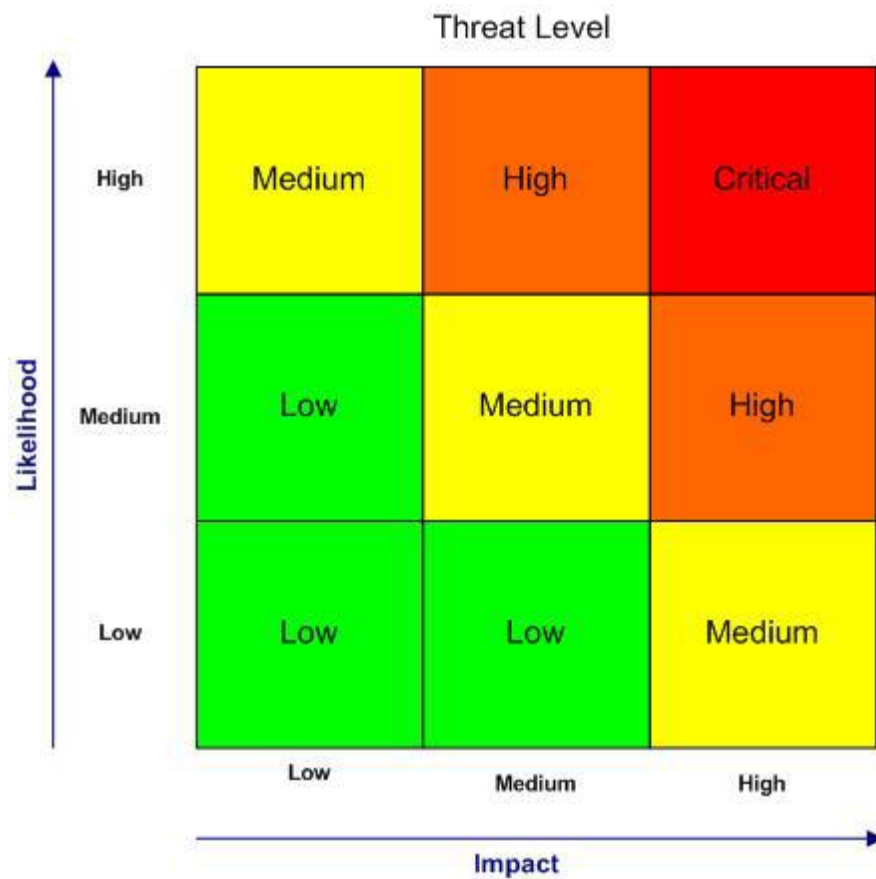




# Risk Management Plan 2019/20

## Key



BRITISH ASSOCIATION FOR SEXUAL HEALTH AND HIV

The Risk <i>What can Happen?</i>	The Source <i>How it can happen?</i>	Risk Assessment			Mitigation <i>What are we going to do to mitigate this risk?</i>	Person responsible
		Likelihood	Impact	Threat Level		
<b>GOVERNANCE RISKS</b>						
Moving away from or otherwise doing things that are not within the remit of BASHH's stated Aims and Objectives or Mission	<p>Mission creep</p> <p>Doing things which are outside BASHH vires and inadvertently opening up to challenge</p> <p>Mission/Vision not reviewed regularly</p>	Low	High	Medium	<p>The Board &amp; Trustees should ensure that all of BASHH's actions and work are within its stated objectives, namely</p> <p>To promote, encourage and improved the study and practice of the art and science of diagnosing and treating sexually transmitted diseases</p> <p>To advance public health so far as it is affected by sexually transmitted diseases and to promote and encourage the study of the public aspects of sexually transmitted diseases</p> <p>To advance the education of the public in all matters concerning the medical specialty of Genitourinary Medicine to include the management of HIV infections and the broader aspects of sexual health.</p> <p>To promote a high standard in the medical specialty of Genitourinary Medicine to include the management of HIV infections and the broader aspects of sexual health</p> <p>Vision and objectives of the Board and Groups reviewed annually.</p> <p>All Groups report formally to the Board on a quarterly basis.</p>	President

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Ignoring the public interest aspects of BASHH's work	Failure to fulfil public education remit of the organisation	Low	Medium	Low	BASHH Media Group's role to react to news events and assist the wider media with accurate factual information relating to HIV and STI's. BASHH Media Group's role in developing campaign's supportive of BASHH objectives. Clinical Effectiveness Group (CEG) 's role in developing patient information based on BASHH guidelines PPI committee's role in developing educational materials	President and Trustees
	Concentrating on BASHH membership at the expense of the requirement to be of service to the public	Low	High	Medium	Lay member and chair of PPI committee are members of the BASHH Board to represent views of wider public.	President and Trustees
Loss of position as primary source of UK STI management guidelines.	Loss of accreditation of guidelines by NICE  Failure to update guidelines in line with current evidence base	Low	High	Medium	CEG leads guideline review process ensuring a minimum of review every 5 years. CEG ensures guidelines writers meet standards of required by NICE. Role of special interest groups in developing guidelines	Chair CEG
Loss of leading position in the training and competency setting for healthcare workers	Failure to develop in line with potential competitors	low	High	Medium	Maintenance and development of STIF including e learning and assessment. Educational Committee role in Spring and Scientific meeting agendas BASHH representation on undergraduate and postgraduate training committees	Chair Education Committee
Ensuring aims and objectives of the organisation remain relevant to the membership	Disconnect between Board, Sub-committees and the wider membership.	Low	Medium	Low	Members can be elected to the Board Two way communication to with members through newsletter and Clinical Governance group membership. Feedback to Board from chair of Clinical Governance group	President

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Failure to review all aspects of the organisation in each planning cycle	Issues are addressed piecemeal with no strategic reference.	Low	Medium	Low	Issues are dealt with by the Board on a cyclical timetable basis so that they are all covered at least once in a stated period of time	Secretary
Board or Officers committees lack relevant skills or commitment to perform roles	Election process leaves skills gaps or vacancies on Board/Committees  Board/Officers as "decorations" with little engagement.	Low	High	Medium	Skills review and co-opting where required Board and Officer training as required. Attendance record Potential for 'vote of no confidence' in extremis Induction training and mentorship an option	Board
Conflicts of interest amongst officers potentially causing damage to the organisation	Impact on decision making and strategic direction  Reputational damage if decisions perceived to be partial or potentially not in best interest of organisation or wider membership.	Medium	High	High	Protocol for disclosure of potential conflicts of interest. Procedures for standing down on certain decisions. Recruitment and selection processes. Understanding of Charity/Trust law guidance issued to all Board Members	President or Committee Chair
Board or Officers committee dominated by one or two individuals, or by connected individuals.	Risk that important decisions could be made bypassing the Board  Potential for Regulatory action and conflicts of interest	Low	High	Medium	Scheme of Delegation  Procedures/methods to establish fair and reasonable decision-making. Conflict of interest policy with mechanisms to manage potential conflicts	Board/ Trustees

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Loss of key personnel on Board or in support staff leading to operational difficulty	Impact on key projects and priorities.  Loss of organisation memory  Experience or skills lost.	Low	High	Medium	Documentation of systems, plans and projects.  Training programmes.  Notice periods and handover periods/training for Officers.  Recruitment and appointment processes in line with Governance documentation.  Succession planning.	F&G committee/ Board
<b>Financial Risks</b>						
Fraud or error	Financial loss.  Reputational risk.  Regulatory action.  Impact on funding.	Low	high	Medium	Financial control procedures.  Segregation of duties.  Authorisation limits.  Security of assets.  Insurable risks  Indemnity from Provider of services to BASHH  Trademarking of STI Foundation and BASHH logos	Treasurer

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Loss of assets (security of assets)	Loss, damage or theft of assets.  Infringements of intellectual property rights.	Medium	High	High	Asset register and inspection programme where appropriate.  Safe custody arrangements for title documents.  Management of patent and intellectual property.  Insurance reviews.  Investments held safely in registered format	Secretary Treasurer
Budgetary control and financial reporting causing risk to organisations ability to deliver it's objectives	Decisions made based on unreliable costing data.  Budget does not match key objectives and priorities.  Decisions made on inaccurate financial projections or reporting.  Inability to meet commitments or key objectives.  Poor credit control.  Poor cash flow and treasury management.	Medium	High	High	Budgets linked to business planning and objectives. Timely and accurate monitoring and reporting. Proper costing procedures for product or service delivery.  Adequate skills base to produce and interpret budgetary and financial reporting.  Procedures to review and action budget/cash flow variances.  Payments to be double-signed  Scheme of Delegation  No financial expenditure without PRIOR authorisation of the Treasurer or in line with Scheme of Delegation  Management accounts produced for each Board meeting Implementation of auditors' management report recommendations	Treasurer

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Inappropriate pricing policy	<p>Poor price point of fee structure for events and membership, rising cost of living and inflation.</p> <p>Impacts:</p> <ul style="list-style-type: none"> <li>- Cash flow impact on other activities.</li> <li>- Loss of membership if unattractive.</li> <li>- Non-affordability of services to members</li> <li>- Reliance on subsidy funding from Reserves</li> </ul>	Low	Medium	Low	<p>Appropriate costing of Membership as well as educational services and contracts.</p> <p>Comparison with other learned societies.</p> <p>Procedures to notify and agree price variations.</p> <p>Monitoring of member satisfaction.</p>	Treasurer
Inappropriate or loss-making non-charitable trading activities	<p>Resources withdrawn from key objectives.</p> <p>Resources and energy diverted from surplus generating fund-raising or core activities.</p> <p>Regulatory action, and accountability.</p> <p>Reputational risk if publicised.</p>	Low	Medium	Low	<p>Monitoring and review of business performance and return.</p> <p>Adequacy of budgeting and financial reporting within the subsidiary or activity budget.</p> <p>Adequate authorisation procedures for any funding provided by charity (prudence, proper advice, investment criteria)</p> <p>Reporting funding and performance as part of charity's own financial reporting system.</p> <p>Viability appraisal</p>	Board
Failure of investment policies –financial loss	<p>Losses through inappropriate or speculative investment.</p> <p>Financial loss through poor advice, lack of diversity.</p> <p>Difficulties arising from lack of liquidity.</p>	Low	Medium	Low	<p>Investment policy.</p> <p>Proper investment advice or management.</p> <p>Diversity, prudence and liquidity criteria.</p> <p>Adequate reserves policy.</p> <p>Regular performance monitoring.</p>	Treasurer

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Insufficient Reserves	Lack of liquidity to respond to new needs or requirements.  Inability to meet commitments or planned objectives.  Reputational risks if policy cannot be justified.	Low	High	Medium	Reserves policy  Reserves policy linked to business plans, activities and identified financial and operating risk.  Regular review of policy.	F&G Committee
Cash Flow sensitivities	Inability to meet commitments.  Lack of liquidity to cover variance.  Impact on operational activities	Medium	High	High	Prudent cash flow projections.  Identification of major sensitivities with quarterly Board reporting.  Adequate information flow from SAGE and bookkeeper.  Monitoring and reporting plans.	Treasurer
Dependency on income sources	Cash flow and budget impact of loss of each income source.	Medium	High	High	Identification of major dependencies. Adequate reserves policy.  Diversification plans	Treasurer
Poor investment decisions (Buying/Selling)	Buying or selling investments at times when market conditions are likely to lead to a less favourable financial outcome	Medium	Medium	Medium	Use of financial advisor  Regular review of investment portfolio with opportunity for diversification.	Treasurer
Failure to comply with donor/sponsor imposed restrictions	Funds applied outside restriction.  Repayment of grant.  Change in relationship with donor and beneficiaries.  Regulatory action.  Change in company objects	Low	Medium	Low	Financial systems are in place to identify restricted funds and their application.  Applying a protocol for reviewing new projects to ensure consistency with objects, powers and terms of funding.	Treasurer



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<b>Operational Risk</b>						
<i>Contract risk</i> Failure of performance by BASHH or contractors with subsequent penalties	Liabilities for non-performance. Non-compliance with charity's objects. Onerous terms and conditions. Poor due diligence on hire of conference venues	Medium	High	High	Authorisation procedures. Professional advice on terms and conditions. Performance monitoring arrangements. Insurable risks cover. Cost/project appraisal procedures in place.	Treasurer
Inappropriate or unsustainable project or service development	Funding and financial viability. Project viability. Skills availability. Compatibility with objects, plans and priorities.	Medium	High	Medium	Authorisation procedures. Monitoring and reporting procedures. Project appraisal and costing procedures	Board
Competition from other bodies or lack of or cessation of activities currently BASHH <i>aegis</i>	Reduced income raising potential Reduced profile. Profitability of study day educational activities. Loss of sponsorship income.	Low	Medium	Low	Superiority of BASHH "product" Review of market and methods of service delivery. Regular contact with sponsors/funders. Public awareness and profile. Monitoring performance and quality of service. Build reserves and contingencies Trademarking to protect products from 'passing off' by competitors Potential joint ventures with other agencies	Educational & Clinical Governance Committees

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Incorrect scientific advice/information promoted by BASHH	Guidelines & educational activities	Low	Medium	Low	Special interest groups Clinical Governance Committees to oversee and quality assure guidelines and standards Education Committee	Board
Disaster recovery and planning	Destruction of property, equipment, records through fire, flood or similar damage.  Computer system failures or loss of data.	Low	High	Medium	IS recovery plan. Data back-up procedures and precautions. Insurance cover. Disaster recovery	Board/ F&G Committee
Cancellation/major issue impacting on Spring/Other meeting	Act of God  Pandemic  Venue problems  Double-booking	Low	High	Medium	Specific meeting/exhibition insurance.  Retain overall control of meeting and exhibition including financial control	Conference and Communications Secretary
Problems with website and/or social media content	Out of date or inaccurate information	Medium	High	High	Regular review of content	Webmaster and Board
Compromising the General Data Protection Regulation (GDPR)	Personal data stored on non-secure equipment	Medium	Medium	Medium	All personal data collectors will maintain data on a lawful basis and identify the purposes of the data, how long it will be retained and receive confirmation this data can be shared with any third parties.	Secretary, Group Chairs and designated Administration Provider Data Protection Officer

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<b>Environment/external factors</b>						
Adverse publicity and damage to public image	Financial impropriety  Inaccurate educational or scientific guidance	Low	High	Medium	Crisis management strategy for handling, consistency of key messages, nominated spokesperson etc.	President & Secretary
Deterioration in relationship with sponsors	Potential impact on funding and support.	Low	Medium	Medium	Regular contact and briefings to major funders and sponsors.  Formal project reporting to the Board.  Meeting their aspirations, conditions and requirements.	Conference secretary and Group Chairs
Changes in Government policy impacting on organisation	Impact of general legislation or regulation on activities undertaken.  Impact from changes in commission rearrangements  Impact from changes to specialist training legislation	Medium	Medium	Medium	Monitoring of proposed legal and regulatory changes.  Membership of umbrella bodies and collaborative partnerships with other professional bodies.  Building and maintaining strong relationships with DHSC, and other peri governmental/ legislative bodies.	Secretary
Local market testing/tendering and organisational change	Loss of Membership support and funding due to loss of morale/appreciation of role of BASHH on local procurement and change issues	Medium	Medium	Medium	Influence National policy and key strategic bodies  Communications with the public and Public Health in Local Authorities  Maintain evidence base and standards  Maintain professional education and training standards and numbers of places  Members given advice and support from colleagues experiential learning from change processes.	Secretary

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<b>Regulatory Reporting Requirements</b>						
Failure to meet Regulatory requirement  e.g. Charity law  Companies Acts  Disability Discrimination Act  Employment Law (Redundancy, unfair dismissal, minimum wages)  Trustees Act  Human Rights Act  Race relations  Health and Safety law (Fire regulations etc)  Data Protection Act	Lack of horizon scanning for new pertinent legislation  Failure to keep up with annual schedule of activities and stator returns  Impacts: <ul style="list-style-type: none"> <li>- Regulatory action.</li> <li>- Reputational risks.</li> <li>- Impact on funding.</li> </ul>	Low	High	Medium	Identify key legal and regulatory requirements.  Compliance procedures and allocation of staff responsibilities.  Preparation and submission of required documentation to Charity Commission and Companies House	Secretary
Unexpected or avoidable tax liability	Penalties, interest and "back duty" assessments.  Loss of income eg failure to utilise gift aid arrangements (not registered)  Loss of mandatory or discretionary rate relief.  Failure to utilise tax exemptions and reliefs.	Low	Medium	Medium	VAT review procedures.  Understanding of exemptions and reliefs available (direct tax and VAT).  Advice on employment status and contract terms.  Budget and financial reporting identifying trading receipts, and tax recoveries  Use of external advisors when required	Treasurer