



## RISK REGISTER

\* Note responsible person ownership of the risks and has oversight of the controls, they do not necessarily carry out the work themselves

Area	Risk #	Risk	Current treatments to manage risk	Current Risk Rating			Action Plan ( <i>additional controls required</i> )	Target Risk Rating			Person Responsible*
				Likelihood	Consequence	Rating		Likelihood	Consequence	Rating	
Governance	1	Disputes between members or harassment/discrimination may result in loss of reputation or breach of statutory obligations	<ul style="list-style-type: none"> <li>Code of conduct policy</li> <li>Complaints and grievances policy</li> </ul>	Possible	Moderate	Moderate	<ul style="list-style-type: none"> <li>Monitor grievance process to identify any change in frequency</li> <li>Improve availability and knowledge of Code of Conduct</li> </ul>	Possible	Moderate	Moderate	<ul style="list-style-type: none"> <li>President</li> </ul>
Environment	2	We fail to provide a safe environment for our members	<ul style="list-style-type: none"> <li>COVID Safe Safety Plan</li> <li>Safety and Wellbeing policy</li> <li>Safety Information for course leaders</li> <li>Fire drills at U3A premises</li> <li>Appointment of Facilities Manager</li> </ul>	Possible	Major	High	<ul style="list-style-type: none"> <li>Monitor and respond to government advice re COVID</li> </ul>	Possible	Major	High	<ul style="list-style-type: none"> <li>Facilities Manager</li> </ul>

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	3	Run down nature of Hughes facility may make it unsuitable for use especially under COVID limitations	•	Almost certain	Moderate	High	<ul style="list-style-type: none"> <li>• During COVID assist course leaders finding alternate solutions (venues, online)</li> <li>• Longer term               <ul style="list-style-type: none"> <li>○ Lobby government to improve facilities/provide alternative premises</li> <li>○ Explore alternate providers southside</li> </ul> </li> </ul>	Almost certain	Minor	Low	<ul style="list-style-type: none"> <li>• CSC, CLAT, Room bookings</li> <li>• Caroline Fitzwarryne; Sherrill Bell; David Marshall</li> </ul>
	4	Social distancing means we won't have big enough rooms for larger class sizes	•	Almost certain	Moderate	High	<ul style="list-style-type: none"> <li>• During COVID assist course leaders finding alternate solutions (venues, online)</li> </ul>	Almost certain	Minor	Low	CSC, CLAT, Room Bookings
Information	5	Strategic and operational decision making based on anecdote, or personal preference may lead to poor choices	<ul style="list-style-type: none"> <li>• Regular reports from teams to committee</li> <li>• Committee based decisions</li> </ul>	Possible	Moderate	Moderate	<ul style="list-style-type: none"> <li>• Member survey to provide an evidence base for change               <ul style="list-style-type: none"> <li>• Strategic Plan</li> </ul> </li> <li>• Refreshed risk register</li> </ul>	Unlikely	Moderate	Moderate	President

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Finances	6	Reserves may be eroded below acceptable threshold due to: <ol style="list-style-type: none"> <li>1. Unmanaged spending</li> <li>2. Lack of income from rooms, especially due to social distancing, and reduced attendance</li> <li>3. Loss of membership</li> <li>4. Online financial scams</li> </ol>	<ul style="list-style-type: none"> <li>• Monitoring by committee via Treasurers reports, planned Budget (1&amp;2) and membership reports (3)</li> <li>• Managed financial delegation (1)</li> <li>• Appoint grants officer to help diversify income streams</li> <li>• Monitoring for online financial scams</li> </ul>	Almost certain	Major	High	<ul style="list-style-type: none"> <li>• Setting of upper and lower limits for reserves as trigger for action (1)</li> <li>• Plan for reassessment of income streams and possible changes March 2021</li> <li>• Implement required changes in 2022</li> <li>• Lobby for continued rent relief</li> <li>• Reassess budget in March</li> <li>• Apply for and manage appropriate grants</li> <li>• Lobby for rent relief from Government</li> </ul>	Possible	Moderate	Moderate	Treasurer
People	7	Aging membership demographic reflects inability to attract and/or keep: <ol style="list-style-type: none"> <li>1. new younger members</li> <li>2. new culturally diverse members</li> </ol>	<ul style="list-style-type: none"> <li>• Brochure creation</li> <li>• Communication Strategy</li> </ul>	Likely	Moderate	High	<ul style="list-style-type: none"> <li>• Develop membership roadmap as part of strategic plan</li> </ul>	Unlikely	Minor	Low	Alex Gosman; (with Dorothy Zenz)

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	8	Increasing complexity of skills expected from volunteers (especially IT), may make it harder to get the right people for the job	<ul style="list-style-type: none"> <li>• Include expected IT skills in job descriptions</li> <li>• Ensure system development/purchase includes usability requirements</li> </ul>	Likely	Moderate	High	<ul style="list-style-type: none"> <li>• Address aging demographic (risk 7)</li> <li>•</li> </ul>	Possible	Moderate	Moderate	Alex Gosman, Dorothy Zenz & IT Strategic Coordinator
	9	The move to online delivery, may result in: <ol style="list-style-type: none"> <li>1. a permanent change in expectations from members, which may be difficult to meet,</li> <li>2. disenfranchising some members.</li> <li>3. not meeting our primary social objective</li> </ol>	<ul style="list-style-type: none"> <li>•</li> </ul>	Almost certain	Major	High	<ul style="list-style-type: none"> <li>• Assess 2021 course delivery choices</li> <li>• Develop delivery plan as part of strategic roadmap</li> </ul>	Possible	Moderate	Moderate	Gary Davis & Caroline Fitzwarryne
	10	Insufficient succession planning for volunteer roles may result in loss of organisational knowledge or delivery capacity	<ul style="list-style-type: none"> <li>•</li> </ul>	Likely	Moderate	High	<ul style="list-style-type: none"> <li>• Ensure all positions (especially on the Committee and sub-committees) are filled</li> <li>• Encourage periodic turnover (3-5 years) where not already mandated</li> </ul>	Possible	Moderate	Moderate	President

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	11	Volunteers do not feel sufficiently valued	<ul style="list-style-type: none"> <li>Long service awards</li> <li>Outstanding service awards</li> <li>Volunteer Liaison Officer position to catch any issues</li> </ul>	Possible	Moderate	Moderate	<ul style="list-style-type: none"> <li>Re-instate volunteer morning tea, post COVID</li> <li>Use stories from existing volunteers about the rewards to help drive recruitment</li> </ul>	Possible	Minor	Moderate	President
Programs and Services	12	Mismatch between course offerings and expectations resulting in disengagement by members who can't access courses of interest to them	<ul style="list-style-type: none"> <li></li> </ul>	Likely	Moderate	High	<ul style="list-style-type: none"> <li>Develop courses offerings plan as part of strategic roadmap</li> <li>Improve enrolment processes to make them more transparent/egalitarian (this may include automation)</li> </ul>	Possible	Minor	Moderate	Keith Huggan; Malcolm Pye; Simone Clark, Caroline Fitzwarryne
	13	No clear hand over of the walks and tours program due to COVID, may threaten its ongoing viability	<ul style="list-style-type: none"> <li>Walks and Tours Sub-Committee established</li> </ul>	Almost certain	Major	Very High	<ul style="list-style-type: none"> <li>Identify individuals within or outside support team to take on part of role, if unwilling to take over everything</li> <li>Re-advertise if needed</li> </ul>	Possible	Moderate	Moderate	Walks and Tours Sub-Committee; President