

Scottish Environment LINK Risk Analysis Review at June 2010 – For comment / approval by the Board

Hazard	Impact	Existing controls	Cost	Likelihood	Recommended action	Responsible person(s)	Timescale	Review	Comment at review
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CORPORATE GOVERNANCE:									
Actions by Members, TFs, Trustees inconsistent with agreed goals and practice	Time to resolve Loss of credibility Damage network reputation	Cpte strategy. Strategic planning. Op Prins. Induction. Board meetings.		Medium. Likely happen more in 'positive' sense of overreach (capacity) and lack of integration.	Ensuring that all involved in LINK can share in the decision-making and the management challenge. Necessitating clear communications between all players involved.	Board, Staff, Members, TF & Steering Group Convenors.	Now and ongoing.	Annually by the Board.	Comms including those inter-TF are fairly good. Various players as well as Networking and Strategic Planning meetings tend to monitor.
Actions by Staff inconsistent with agreed goals and practice	As above. Also loss of stafftime on other areas, resulting impact on other staff and work areas.	Strategic planning. Staff objectives/ review process. Team meetings. Comms with all.		Low to medium. Experience is of overreach rather than contradiction.	Setting and reviewing boundaries to job roles and individual work programmes. Good regular comms between Staff, also with Board & TFs/Groups in relation to ongoing work programme	All Staff Chair, Vice-Chair and Treasurer.	Now and ongoing.	Annually at staff review or more often as required.	Operational planning and good regular comms amongst staff help.
Poor forward planning in LINK.	Lack of knowledge & confusion, misinformed positions. Over or under commitment of network and resources. Frustration. Loss of credibility.	Strategic planning. Contact with / between TFs. Board comms. Wider comms on decisions.		Low to medium; to some extent we do suffer; in other ways we try to plan ahead.	Invest in strategic planning to refine agreed collective areas, so informing staff programmes and determine boundaries between 'musts' and 'aspirations'. Communicate plans clearly in and beyond the network. Be prepared on occasion to resist pressure to 'have a line on x' and 'respond to y'.	Members. Task Forces, Board & Operational planning. Staff.	Ongoing.	Annually and at Networking meetings	Horizon-scanning is informed by PSR. Prioritising and reality check with members' plans and total capacity seems reasonable.
Political/national/ constitutional changes	Impact on treatment of environment ; impact on govt structures	Discussion about trends, debates, exploring pros and cons.		Med – we explore at Networking and at strategic planning	PSR and strategic planning should flag key issues for network on political/policy front. FSG scans funding and financial situation.	Members, Task Forces, Board	Now and Ongoing	Six-monthly	UK election, Calman implementation, Recession - all relevant.
Not 'doing' as we preach.	Loss of credibility with audiences & members. Criticism/ shaming of eNGOs	Environmental and travel policy Carbon accounting and reporting		Med - LINK and Members are mutually reliant. Climate asks put spotlight on eNGOs	Review policy for LINK. Ask all to adopt. Continue carbon accting for LINK offices, staff, core mtgs. Encourage same across n/wk. Promote environment policy for activities in LINK's name.	All players in LINK.	Over the next year.	Every couple of years.	How important is this? Has the Board an additional role?

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CORPORATE GOVERNANCE - continued									
Inaccurate, inappropriate or untimely communications by members, staff or other representatives or volunteers.	Confusing our audiences. Poss loss of credibility. Time needed to address.	Operating principles esp on draft statements & letters (checking with colleagues on TFs, and staff. Induction. Checking plans for verbal statements.		Low. Lack of integration between statements & positions or briefings. Pressure on network to respond to invitations to comment may lead to shortcutting of protocols	Convenors, TFs and steering groups should remain abreast of each other's work and the direction of LINK. Draft/intended statements must be checked with staff/Board member. Senior staff must be kept aware of all plans for joint work to spot gaps/conflicts/contradictions.	Convenors. TF/Group members. Senior staff. Trustees & Officers. President. Spokes-people.	Ongoing.	Annually at work planning meetings.	No major issues noted
Impact of volunteer Board.	Lack of time. Lack of continuity. Inadequate succession planning.	Board meetings. Board/staff contact. Board wider comms. Corporate Strategy.		Low- Med Existing input is good. However, volunteers to Board / office are few.	Plan succession for Board and office-bearers in relation to skills matrix. Promote the benefits of being involved on Board to members. Chair-Trustees annual meetings.	Chair supported by Vice-Chair		Annually.	Tighter planning recommended at June 2010
Poor forward planning by members in relation to LINK.	Poor integration affecting long-term health of network. Confusion over intended levels of investment. Not meeting own / others' expectations.	Corporate strategy encourages members to build LINK goals into own strategies. Reliance on hope/trust.		Med. Joint work relies on allocation by members of time and staff. Tendency in some areas for workload originally supported by many to fall to a few	Members should reflect their collective asks of LINK in their own plans as part of the objectives and allocations of staff time and money. Members clarify whether they are actively engaging (in TFs) or simply taking watching brief.	Main Reps & Member strategies.	Now and ongoing.	Annually.	Hard for Board/Staff to judge?
Challenges with the introduction of Organisational Supporter (and parallel closure of Subscriber)	Time needed to address any problems. Reputation.	Proposal is sound. Implementation is planned. Small print checked with lawyer.		Low.	Timeline, actions, players and expectations noted in advance.	DO, Trustees	During 2010-2011	Annually in first few years	

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COMPLIANCE :										
Breach of Charities (OSCR), Companies legislation and requirements	Reputation & credibility . Risk of deregistration. Impact on members.	Annual checks and trustee reporting. Staff plans include OSCR and Co House reports.		Low	Board should continue to keep under review	Chair & CO	Ongoing	Annually	Tends to rely on Board 'monitoring' of OSCR advice and guidance.	
Breach of Employment & Equal Opps legislation	Tribunals; fines; compensation; adverse publicity; enforced compliance with costs.	Training . Awareness and compliance through Trustees and Specialists (for one-off reviews).		Low.	Continue to use HR expertise on Board (via Employment Subgroup) re staff support, staffing and recruitment issues. Invest in HR advice for regular update and advice.	CO & Line Manager	Ongoing.	Annually.	Investing in advice from external consultancy from 2010	
Data Protection	Fines; loss of reputation; compliance costs.	Reliance on common practice and occasional requests for specialised advice.		Low-Med	Staff would benefit from update on current rules.	Request briefing from specialist (within the network if possible).	DO/AISO	2010	Every 2-3 years.	Could a member body with expert staff offer briefing?
Breach of office/equipment leases (incl re buildings maintenance). Lapse of insurances.	Restriction of planned activity; loss of income; interruption of activity; unplanned costs.	Terms negotiated by staff in conjunction with Board.		Low	Document all leases making the information available to staff and board, updating with any changes as these occur	CO (offices) FITO (equip)	Summer 2010 Then ongoing	As needed and at least once a year.	CO observes office lease conditions. We continue to chase signed lease for Perth (3-4 years after its revision).	
Breach of contract by consultants.	Untimely / partly correct statements. Loss of credibility. Potential loss of funds.	Contracts prepared for each 'project' and checked with Senior Staff person and/or relevant TFC.		Low	Use and update LINK template. Seek specialist advice as needed on contracts at drafting.	TF Convenors. Senior staff.	Ongoing	As needed.	So far, so good	
Breach of H&S guidelines re offices, staff and public (inc. fire escapes, storage, lifting, VDU use, travel).	Fines; compensation; adverse publicity; enforced compliance with costs.	H&S policy exists H&S advice available from specialists		Low-Med.	Needs attention on regular basis	Review with specialist advice. Clarify responsibilities, frequency. Re-issue advice to staff. Document agreement with APRS for Edin office.	CO	Summer 2010	Annually.	Needs attention by CO

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COMPLIANCE - continued									
Issues/Breach of agreement with hosted organisation in Perth office (Community Energy Scotland)	Dispute. Loss of time in resolving. Costs of doing so.	Agreement and small print schedule. 6-monthly review.		Low	Hold review meetings. Follow up promptly. Observe spirit of agreement.	CO and Perth staff	ongoing	6m to annual	Review meeting planned
Breach of Disability legislation	Fines; compensation; loss of reputation.	None formalised – some investigation carried out.		Low-med.	Review position seeking advice. Issue policy advice to staff and convenors (members) re their roles in LINK's name	CO	2010	Every 2-3 years	Can Board advise?
FINANCIAL									
Loss of paying members.	Loss of expertise, breadth. Loss of partners funds. Potential loss of credibility.	Board keeps services & subs under review. Corp strategy. Congress keeps synergy. Operating principles.		Low (potentially Med given impacts of Recession). We monitor for concern and encourage members to influence forward planning.	Discuss LINK and members' funding situations with members. Flag members' opportunities to influence direction. Ensure external opportunities are shared. Encourage members to engage in management. Encourage attendance at Congress.	Board, CO & senior staff.	Ongoing.	Formally, every 3 years at least.	FSG preparing new subs schedule for years to 2014. Draft ready for discussion with Board and members at autumn 2010
Lack of relevance / ability to demonstrate value for money to potential funders	Unable to secure financial support	Good contact with funders. Good horizon scanning by LINK for priorities.		Low, usually. Recession may add pressure.	Network and Board should keep this under review.	Ongoing	Annually	Every 3 years at least	
Inability to resource LINK objectives and commitments.	Making cuts. Fail expectations Loss of trust Loss of credibility	Strategic planning. Comms on priorities for available funds. Maintaining good relations with current funders. Board/FSG scrutiny.		Med - need to contain aspiration, focus resources and remain a sustainable entity. Review plans in current downturn.	Scenario planning by Board's FSG. Tight budgeting. Clear regular comms with Members and TFs re priorities capacity and finances. Good clear accounting for core and project work.	Board, Convenors, CO and staff.	a.s.a.p.	Annually.	A focus of FSG discussions at 2010

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FINANCIAL - continued									
Loss of independence.	Loss of credibility with members and audiences; loss of profile and strength.	Internal discussions. Funding strategy. Strategic review.		Low. Recession may put formula under pressure.	Consider with members as we set strategy, at strategic planning meetings; and with FSG and Board in relation to fundraising strategy.	Members, Convenors, Board & Staff.	Ongoing	2-yearly.	
Breach of grant-aid conditions.	Claw-back/Loss of funds. Loss of work areas. Frustration/ Loss of confidence in LINK	Awareness of total situation. Compliance with funders esp via fundraising and FSG.		Low.	Ensure all Staff, Board and members are aware of conditions and scope of all grant packages via members' pages.	CO, DO, TFCs, Trustees	Ongoing	Annually.	We tend to keep abreast of needs and to keep TFs informed about their responsibilities
Fraud	Suspended activity; frozen assets; loss of revenue and reputation	Internal accounting systems; audits; authorisation limits; segregation of duties; supervision and reporting.		Unlikely though not impossible; 'contained'	Ensure we follow financial advice of funders and bankers and maintain good internal protocols	Treasurer, CO, FITO, DO, PO	Ongoing	Every couple of years	
STAFFING:									
Staff moving on Recruitment issues	Loss of skills. Loss of knowledge of organisation. Issues in recruiting. Delays to work during recruitment & induction.	Involvement of staff in decisions. Clarity about staff roles. Encourage development. Salary parity with relevant Scottish organisations.		Med.	Regular 1-1s between staff and line managers with relevant issues explored. ESG involvement where appropriate.	Board and CO	2010 and 2011	Board review of salaries annually Independent review every 3-4 years	Job re-evaluation proposed for 2010 ahead of independent review of salaries in early 2011/12

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EMERGENCIES									
Damage/loss of premises or property by flood, fire etc.	Unplanned break in activity with some costs.	Fire alarms; flood defences; buildings maintenance; electrical checks.		Low-Med? Old buildings. Depending partly on regularity and thoroughness of own and others' checks.	Consider Perth needs as each rent review approaches. Check alarm, escape and electrics at APRS and Perth. Fire drill each quarter (both offices).	CO	a.s.a.p.	Annually.	Fire drills and other H&S actions would need to be prioritised above other work.
Physical security of buildings.	Loss of and damage to offices, equipment, files.	Alarms. Window locks. Door locks. Doorbells.		Low	Check APRS situation.	CO	a.s.a.p.	Annually.	
Power failures.	Break in activity; poss loss of data.	None.		Low.	Consider back-up for computers and server.	FITO	Spring 2010	As required.	IT arrangements are being reviewed at spring 2010
Heating system failure.	Possible break in activity. Oncosts eg in frozen pipes.	Limited, given 'monitoring, by staff.		Low.	Keep an eye (Perth) Liaise as needed with APRS (Edin)	FITO PAO - Edin	From autumn to spring	Each year	
Maintenance of IT systems.	Breaks in/Loss of vital communication s internal and external. Potentially disabling.	Monitoring of SCVO's role. Daily back-ups - Perth office.		Low, owing to new arrangements put in place autumn 2008.	Both offices are networked. All shared documents are saved on Perth server. Backing-up is daily. Staff monitor for developing needs and explore with SCVO.	FITO Perth. PAO Edinburgh.	Ongoing.	As required.	We get what we pay for, it is affordable, though has some shortcomings.