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| **Identification of risks** | **Management Strategy** |
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| * **Audits**
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| * 1. Internal WBC
 | -Finding unsigned documents-Missing documents-Not having contractors Public liability insurance on file-Potential breach notice could be served | * Regular management office checks
* Office filing to be up to date weekly
* Public liability insurance renewed every year
* Organisation policies practice and procedures followed to the letter and reviewed regularly
* Organisation rules followed to the letter and always relevant
* Organisation membership kept up to date
* Organisation record kept up to date
 |
| * 1. External
 | -Financial records not being kept properly-Qualifying the accounts-Not following procedures-Making Losses | * All record to be saved digitally on secured computers
* Accounts and all financial transaction recorded properly following Organisation Financial standing orders and policy practice and procedures
* Accounts prepared up to audit level to minimise cost of audit
* All assets recorded and checked on a regular basis
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| * **Structural /Organisational**
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| * 1. Office
 | -Known health & safety risks-Trips-Lone worker-Computer positioning- Compliance with regulation-Theft | * Appoint and external consultant who can advise and assist with health and safety, risk management
* Create and adhere to policies to protect staff
 |
| * 1. Data recording / storing
 | -Loss of data-No back ups-Unsafe- office security | * Retain all files on cloud-based system
* Ensure regular back ups are taking place
* Keep a register of key holders for the office
 |
| * 1. Estate
 | -ASB-Noise nuisance-Slip hazards-Bulk rubbish-loss of electricity-Possible fire hazards- | * Ensure all new and existing residents are aware of all estate regulations
* Regularly communicate any policy changes or reminders
* Ensure generator is serviced regularly
 |
| * 1. Filing System
 | -Not being put in the correct place-Outdated files-Data protection -breach of confidentiality-archive not indexed-Digital filing | * Ensure all new and cover staff are fully trained on the filing index
* Create data retention policy
* Ensure data which is no longer required is disposed of correctly
 |
| * 1. Garden
 | -Being unattended-Tools being left out-Theft-overgrowing-Prickly plants-Fungus growing on trees -grass | * Monitor gardening contractors when on site
* Ensure all contractors are keeping all tools with them on in a locked vehicle
* Maintain all prickly plants to ensure they cannot injure any passer by
* Check trees regularly and instruct a contractor to treat/remove any trees which are dangerous
 |
| * 1. Lifts
 | -Breakdowns-entrapment-Spillages-Spitting-Animal / human faeces-Urine | * Service maintained by WBC
* Ensure emergency contact information is prominently displayed in communal areas and inside lifts
* Report any incidents immediately and request a follow up
 |
| * 1. Bin areas
 | -Broken bins-Smelly-Spillages-Overflowing-None collection-Health risks-Flies / rats-Bulk items | * Ensure cleaning contractor focuses on all bin areas daily and report any issues
* Report non collection to the Council immediately
* Remove all bulk rubbish to safe area as soon as possible
 |
| * 1. Walkways / stairs
 | -Rubbish-bulk items-spillages-Fallen signs-Lighting-congregating-ventilations-smoking | * Issue regular communications to residents to advise that no items are to be left in communal areas, including rubbish.
* Ensure the cleaner is checking all areas daily
* Keep stock of spare bulbs and fittings for any lighting failures
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| * **Corporate**
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| 1. Coop rules
 | -Being out of date-not being relevant-not distributed to members-not read by members and staff | * Schedule regular reviews with the Management Committee
* Ensure new staff are provided with a copy at their induction
* Ensure the documents are available on the co-ops website
 |
| 1. Membership
 | -Being out of date-Not enough members-Making sure all committee members are coop members | * Schedule regular reviews
* Encourage participation with existing and new residents
 |
| 1. GM and AGMs
 | -Minutes & agendas not being sent on time-Not enough members to make it quorum-Not enough meetings held in the year as per agreement-Decisions being made not in accordance with the rules | * Display meeting schedule prominently in the office
* Email reminders for the dates of meetings
* Review the schedule and ensure enough meetings are booked and not cancelled without a valid reason
 |
| 1. Board
 | -Not having training-Not enough members-Not keeping to the rules-not attending meetings-not being involved | * Offer free and accessible training
* Encourage participation with existing and new residents
* Maintain oversight at meetings where decisions are made and challenge any non-compliance
 |
| 1. Board Meetings
 | -Minutes & agendas not being sent on time-Not enough members to make it quorum-Not enough meetings held in the year as per agreement-Decisions being made not in accordance with the rules | * Display meeting schedule prominently in the office
* Encourage participation
* Send reminders by email, message and calls as required
* Maintain oversight at meetings where decisions are made and challenge any non-compliance
 |
| 1. Management
 | -lack of direction-no strategy-internal tensions-Not sharing common goal-No common vision-Lack of cohesion of management team | * Review strategy and aims documents
* Encourage participation and training
* Deal with any tensions in a calm and professional manner, aiming to resolve issues in a timely and effective manner
* Agree with the Committee on goals and vision and try to create a cohesive environment
* Take action against any disruptive member
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| 1. Business Continuity
 | -No business continuity policy-Not enough alternatives | * Create and adhere to business continuity plan
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| * **Financial**
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| 1. Budget
 | -Not being set up properly-Not putting enough money in some areas-preparing for all staff cover-Ensuring enough money in areas where there will be increases each year eg. insurance-Over spending-Not being managed efficiently-Not being agreed by the management committee -No understanding of how budget are prepared | * Proactive budget set up
* incremental budget (RPI)
* allowing enough leeway in the budget for unforeseen circumstances
* Monthly Monitoring and management
* Monthly Budget meeting with Treasurer
* Competent and qualified consultant and qualified finance workers
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| 1. Income
 | -Not having enough-reduction in value of WBC allowances-ever increasing costs | * Budget prepared in a strategic way
* Proactive budget set up
 |
| 1. Spending
 | -Over spending-no plans for efficient use of financial resources-no planned repairs and maintenance-no strategic approach to spending | * Effective planned repairs and maintenance
* Relevant repairs and maintenance policy
* Tenants and leaseholders aware of who’s responsible for what repairs
* Residents handbooks
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| 1. Contractors
 | -Not having public liability insurance-Not having enough to cover emergencies-Contracts going out of date-not competitive anymore-not having licences for some trades-quality of workmanship-constant rising costs | * Collective contracts with other coops
* Monitoring and evaluating contractors performance annually
* Set up system to check Contractors insurances
* All contractors to fill applications and provide all relevant documents
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| * **Staffing**
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| * 1. Manager
 | -Not being trained / training available-Not following policies / procedures-Absence / sickness-Annual Leave -Resignation-not reporting back to the General Manager-Not reporting back to the management committee-No support-lack of commitment-lack of motivation | * Appraisal
* Training plan
* Personal training and development plan
* Staff development policy
* Clear Job descriptions
* Detailed person specifications
* Supervision
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| * 1. Cleaner
 | -Not being trained / training available-Not following policies -Absence / sickness-Annual Leave -Resignation-Health & safety awareness-Not understanding COSHH-First aid training | * Outsource to contractor and ensure an annual review is carried out to check all documentation is in order.
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