

GENERAL RISK ASSESSMENT FORM

Ref:

<p>Describe the activity being assessed: As part of conducting communications and activities for and on behalf of ARLIS Members and working to strategic objectives, there are inherent risks which can be acknowledged and to varying degrees mitigated. These risks may be characterised under four headings: strategic, operational, financial and compliance.</p> <p>See the accompanying risk management policy for a strategic overview.</p>	<p>Assessed by: Morwenna Peters</p>	<p>Endorsed by: Jerry Jenkins</p>
<p>Who might be at risk: all ARLIS UK and Ireland members, volunteers and staff.</p>	<p>Date of Assessment: 31/5/23</p>	<p>Review date: 31/5/24</p>

Risk	Type of risk (operational, strategic, financial, compliance)	Existing Control Measures	S	L	Risk Level	Additional Control Measures	S	L	Risk Level	By whom and by when	Date comple ted
Significant and unplanned reduction of unpaid volunteers, resulting in inability to function as a Charity (especially of Chair, Hon. Treasurer, Hon. Secretary and ALJ Editor).	Operational	<p>As agreed by Officers, Officers should be willing to assume duties of another officer on a temporary basis.</p> <p>As recorded in the Handbook, all elected Officers should be willing to assume duties of an Officer on a temporary basis.</p> <p>Handbook is reviewed regularly and endorsed by Council to ensure roles and responsibilities are up to date, enabling smoother handovers.</p> <p>At least two Officers should have full electronic access to the society bank accounts. Normally the Hon. Treasurer, Operational Treasurer and Hon. Secretary should be named banking signatories.</p>	3	2	6	<p>Review to be undertaken of how data is stored and shared on OneDrive.</p> <p>Officers/Council Members contact details to be securely stored and accessible by designated Officers/Members.</p> <p>Up to date role descriptions and useful information to be stored on OneDrive, enabling secure and easy transfer of responsibilities.</p> <p>Recruitment, retention & protection of Trustees: Council to consider how best to support & protect ARLIS trustees in the performance of their duties.</p>	3	1	3	<p>Hon. Secretary 31/12/23</p> <p>Hon. Secretary 30/6/22</p> <p>Officers and Committee Chairs</p> <p>Privacy and safeguarding documents awaiting</p>	<p>Comple ted</p> <p>Comple ted</p> <p>Comple ted</p> <p>In progress</p>

		Trustees' contact details are listed on the Charity Commission website, which is maintained by the Honorary Secretary.				Proactive succession planning for key roles to form part of Council discussions.				Council approval	Completed
Loss of ARLIS data, compromising compliance with GDPR or other legal requirements	Strategic, Compliance	<p>Where possible, personal data is stored securely on OneDrive, including membership data.</p> <p>Where financial records are in paper format and required to be kept for 7 years, these are stored securely in the possession of the Hon. Treasurer/Operational Treasurer.</p> <p>Society Data Protection Policy uploaded to website.</p> <p>Data Protection Statement included on ARLIS Forms (e.g. Membership Forms, Grant Applications).</p>	4	2	8	<p>Review to be undertaken of how information* is stored and shared on OneDrive.</p> <p>All ARLIS-related data should be stored on OneDrive or similar secure areas (not on separate USB sticks or personal files).</p> <p>Personal data to be retained in accordance with GDPR: create, review and keep updated a Record of Processing document.</p> <p>Privacy notice template to be created and used where relevant, such as committee events.</p>	4	1	4	<p>Officers 31/12/23</p> <p>Hon. Secretary Date 31/12/23</p> <p>Awaiting Council approval</p>	
Significant reduction in income, for reasons including decrease of membership fees, cost of living crisis, loss of investment earnings or other financial loss	Operational, Financial	Investments: The Society has £25,000 invested with NS&I. This investment to be monitored by the Hon. Treasurer for interest, and recommendations made to Council should it be prudent to move this investment. Purpose of investment is to provide financial stability for the Society should current account funds decrease. If required, these funds should be sufficient to wind up Society activities should the Society cease.	3	1	3	<p>Council should debate the impact of the changing journal publishing landscape on the ALJ and potential long-term impact on the Society should the journal move to open access publishing at any point in the future.</p> <p>Council to consider developing additional revenue streams to reduce dependency on journal-based income</p>	3	1	3	<p>30/9/23</p> <p>30/9/23</p>	<p>Council</p> <p>Council</p>

		<p>Membership: Membership fees and statuses are reviewed annually by Council.</p> <p>Conference expenditure must be estimated by the CWP during planning and submitted to Council for approval.</p> <p>Art Libraries Journal: The main source of income to the Society is the Art Libraries Journal. Sales prices for the ALJ are negotiated annually between CUP and the ALJ Editor, and presented to Council for approval.</p> <p>The Society aims to ensure a surplus of at least £25,000 is in the Society bank account at any time (this is in addition to the Society NS&I investment).</p>								
Risk to reputation of ARLIS, for instance due to a complaint relating to perceived or true unfair treatment	Strategic, operational	<p>Policies including the Safeguarding, Complaints and Volunteering policies are reviewed annually; the Policies are accessible to all and amendments raised and welcomed at regular intervals (e.g. at AGMs or Council meetings).</p> <p>Complaints, safeguarding and privacy notice policies are robust and up to date.</p> <p>Anonymous complaints Microsoft Form is available.</p> <p>Clarity of ARLIS' position as an anti-racist and inclusive organisation on its webpages and documentation.</p>	3	1	3			3	1	3

Cyber risk	Financial, operational		3	3	9	<p>Use of personal devices when conducting ARLIS banking activities to be minimised wherever possible. If personal devices must be utilised, this must be agreed by Council and appropriate levels of cyber crime protection must be in place.</p> <p>Use of unencrypted emails to be avoided when sharing ARLIS, member or customer PII electronically.</p> <p>Greater use of PayPal account to collect member and non-member donations.</p> <p>Council to consider the benefits of mitigating some aspects of cyber crime by purchasing appropriate cyber insurance (risk transfer). This could protect ARLIS UK & Ireland against a range of risks including but not limited to (a) data breach notification expenses in the event of members PII being lost or compromised; (b) loss of income; (c) 3rd party claims for financial loss against ARLIS if 3rd party data is lost or compromised</p>	3	2	6	<p>Hon. Treasurer, Operational Treasurer to present ideas to Council for approval</p> <p>31/12/23</p>	
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* (a) Personally Identifiable Information (PII) of members, customers etc. (b) business critical procedures and processes; (c) meeting minutes.

RISK MATRIX: (To generate the risk level).

Very likely 5	5	10	15	20	25
Likely 4	4	8	12	16	20

Possible 3	3	6	9	12	15
Unlikely 2	2	4	6	8	10
Extremely unlikely 1	1	2	3	4	5
Likelihood (L) ↑ Severity (S) →	Very low risk – requires minimal or low urgency action 1	Low risk – Requires action 2	Medium risk – requires prompt action 3	Major risk – requires urgent action 4	Major risk – requires urgent action 5

ACTION LEVEL: (To identify what action needs to be taken).

POINTS:	RISK LEVEL:	ACTION:
1 – 2	NEGLIGIBLE	No further action is necessary.
3 – 5	TOLERABLE	Where possible, reduce the risk further
6 - 12	MODERATE	Additional control measures are required
15 – 16	HIGH	Immediate action is necessary
20 - 25	INTOLERABLE	Stop the activity/ do not start the activity