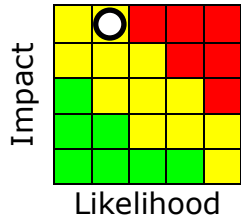
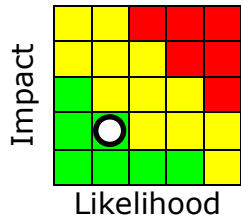
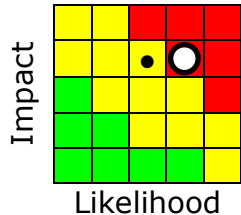
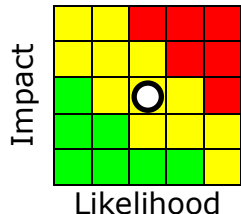


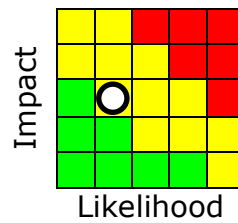
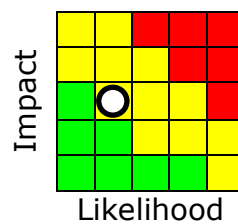
Cultural Services – Risk Register (June 2013)

NB: Where risks have changed since last review the previous risk score is shown as ●

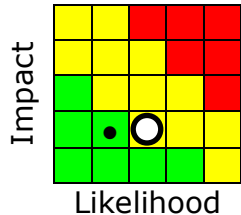
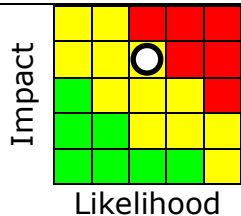
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Generic Risks – Cultural Services					
Building and plant related					
Loss or major damage to operational buildings	Fire Floods and storms Gas explosion Vandalism Civil unrest	Danger to occupants Non-availability of service Additional expenditure/loss of income Loss of customers	Business Continuity plans Normal operating procedures/ emergency Action Plans	Building Managers (for contingency planning and emergency response actions)	
Unplanned unavailability of R/H offices	Power failures Emergencies/ incidents Floods	Minimal disruption to service. Possible loss of data (hard copies).	WDC corporate approach for relocation of services. Some accommodation at other CS sites	Business Support Manager Head of Cultural Services	

Appendix 1

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Plant failure	Mechanical breakdown; structural failure. Equipment nearing end of life (EC Harris report)	Loss or restriction of service Health & safety risks Potential for damage to assets and high value items	Building Energy Management system. PPM - regular service by contractors or WPM Replacement programme	Building Managers Property Manager	
Loss of power/water	Local or external interruption to supply; power surge; failure of piece of equipment	Loss or restriction of service.	PPM - regular service by contractors or WPM Replacement programme	Building Managers Property Manager	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Security related					
Loss of Data	Sabotage Malfunctions Inadequate staff training Loss of skilled people	Loss of income Breakdown of Service Loss of Reputation Disruption to forward planning Financial cost of recovery	Back-up processes and software assurance Staff training IT Support Maintenance agreements Copy of Licences	Section Heads; ICT	
Failure to comply with Council Policy and/or legislation	Lack of training for staff Failure to monitor staff Dishonesty	Staff resources tied up in investigations Reputational cost Poor service and complaints Loss of income Financial Effects	Legal and Financial controls Supervision and monitoring Audit inspections	Section Heads; building managers	

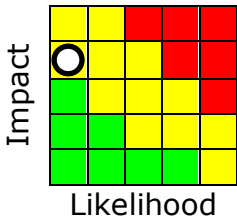
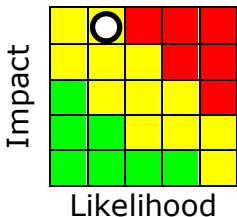
Appendix 1

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Potential for financial loss through cash handling and banking procedures	Weak procedures Incomplete staff training Dishonesty Inaccurate record keeping Current issues with G4S procedures	Financial loss Reputational loss Risks of threats to staff	Double-signing for staff cashing up. Contracts with G4S for banking and change supply.	Section heads. Building Managers	
Credit card fraud	Dishonesty; lack of robust procedures	Loss of income; complaints re loss of public funds; Disciplinary action	PCI DSS controls and review of processes; ICT training; clear nominated users of ICT systems	Business Support Manager Culture Finance Officer	

Appendix 1

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Unauthorised access to buildings	<p>Failure to check visitors ID</p> <p>Lack of access control</p> <p>Lack of staff awareness</p>	<p>Theft/vandalism</p> <p>Staff and customers at risk</p> <p>Loss of income through non payment</p>	<p>Audit</p> <p>Physical barriers to control entry where applicable</p> <p>Staff training</p> <p>Key codes/access control methods regularly changed</p>	Building Managers and supervisory staff	<p>Impact</p> <p>Likelihood</p>
Health & Safety related					
Accidents to staff and customers	Lack of health & safety good practice; unpreventable accidents	<p>Loss of business</p> <p>Liability claims</p> <p>Loss of reputation</p> <p>Loss of staff working time</p>	<p>H&S audits</p> <p>Accident reporting</p> <p>Staff training</p>	Section Heads, H&S reps and WDC Safety Advisor	<p>Impact</p> <p>Likelihood</p>

Appendix 1

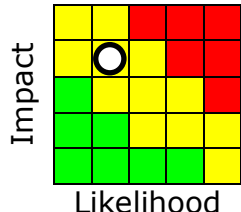
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Abuse/ attacks on staff	<p>Theft</p> <p>Vandalism</p> <p>Lone working</p> <p>Lack of training and knowing how to deal with situations</p>	<p>Staff injury</p> <p>Loss of staff time at work</p> <p>Stress</p> <p>Loss of confidence</p>	<p>Staff training and awareness, staff following guidelines of Normal Operating Procedures and Risk Assessments</p> <p>Lone working procedures</p>	Section Heads and Building Managers	
Legionella in operational buildings	<p>Poor PPM</p> <p>Poor record keeping</p> <p>Lack of procedures</p> <p>Design of pipework</p> <p>Poor staff awareness</p>	<p>Serious public health issues/death</p> <p>Litigation and reputational risk</p> <p>Business risk</p>	<p>Legionella policy</p> <p>Staff training</p> <p>Operational procedures</p> <p>Senior officer group</p> <p>Contract for maintenance</p>	<p>Section Heads and Building Managers</p> <p>WDC Energy Manager</p>	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
ICT related					
Loss of WDC network	Technical failure Floods Power cuts	Loss of data; Loss of phones reduced services; slow communication	Back up processes. Business continuity plan Manual processes in place where appropriate Mobile phones	ICT Head of Cultural Services	
Staff related					
Loss of key management staff	Market forces; Illness Retirement Career progression	Loss of skills Impact on remaining staff Loss of experience Reduced standards of service	Continued staff development. Succession planning Sharing of information Corporate policies	Head of Cultural Services; Section Heads	

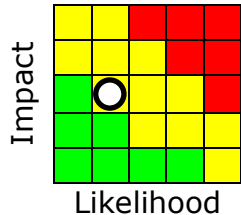
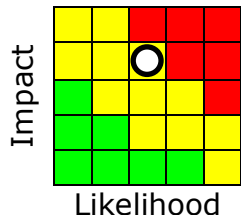
Appendix 1

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Unplanned loss of operational staff	<p>Market factors - e.g. low pay</p> <p>Dissatisfaction, low morale</p> <p>Lapse of qualifications</p> <p>Disciplinary or dispute</p> <p>Illness</p>	Restricted service or delay	<p>HR procedures, Notice periods.</p> <p>Appraisals and 1:1 meetings</p> <p>Training matrix of qualifications</p>	Section Heads	<p>Impact</p> <p>Likelihood</p>

Appendix 1

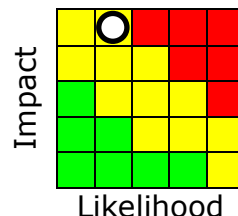
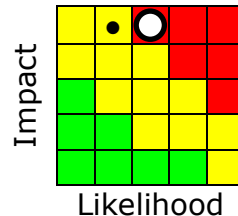
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Non compliant procurement	<p>Lack of understanding of procurement policy.</p> <p>Urgency of procurement forces urgent action - without the necessary approval</p>	<p>Non compliant contracts awarded or cancelled at last minute.</p> <p>Risk of challenge to WDC.</p> <p>Loss of reputation of WDC</p> <p>Potential financial cost</p>	<p>Budget managers aware of Code of Procurement Practice and their roles within it.</p> <p>Training</p> <p>Advice from Procurement Officers</p>	Budget Holders	 <p>Impact</p> <p>Likelihood</p>
Others					

Appendix 1

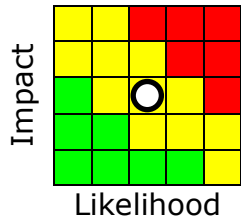
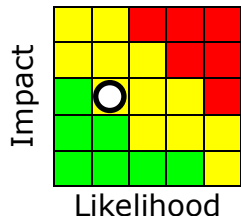
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Failure to manage budgets	<p>Unauthorised spending on codes without sufficient budget.</p> <p>Poor budget management</p> <p>Lack of compliance with Code of Financial Practice</p>	<p>Financial loss to the Council</p> <p>Disciplinary action</p>	<p>Budget managers attended training by Finance team;</p> <p>Budget managers and Accountants monthly budget monitoring</p>	Section heads and Budget holders	
Withdrawal of partners	<p>Change of strategic objectives of partners</p> <p>Economic pressures</p>	<p>Loss of external funding</p> <p>Inability to deliver specialist services</p>	<p>Maintain strong relationships with key partners</p> <p>Forward planning within partnerships</p>	<p>Head of Cultural Services</p> <p>Section Heads</p>	

Appendix 1

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Failure of a major contracteg Kudos, Mack Golf, Waste, GM	Financial failure Breach of contract	Loss or suspension of service Loss of income Reputational loss	Robust contract monitoring Strong partnership and relationship Advance planning for re-let at end of contract	Head of Cultural Services	
Management of leaseholders/tenants to ensure compliance	Failure to comply with terms of lease or agreement	Reputational damage to Council Possible litigation Loss of income	Sound management of leaseholders in partnership with Estates Manager Sound legal advice	Head of Cultural Services Estates Manager	
Loss of crucial suppliers of specialist goods	Various	Impact on service delivery	Alternative suppliers	Area Manager	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Sports and Leisure Risks					
Serious Injury, Heart attack, Loss of Life, – Pools, Gyms & Sports Halls	Accidents, Medical Conditions, Cleaning chemicals, Lack of compliance with procedures	Potential injury to staff \ users, potential loss of life, Insurance Claims, Loss of Reputation, Effects on - income, morale, & staff trauma	Normal Operating Procedures (NOP) Trained and qualified staff Admissions Policy Risk Assessments, Staff training; AED in selected sites Industry Advice	Sports and Leisure Manager; Area Manager and Operational Managers	 <p>Impact</p> <p>Likelihood</p>
Failure of plant and machinery	Poor maintenance, failure of components, Malfunction of equipment, Chemical leak, Water/gas leak. Equipment nearing end of life (EC Harris report	Potential injury to staff/users, potential inability to maintain safe operating environment, Building Closure Revenue/reputati on effects	Trained and qualified staff (WPM and pool staff). Regular maintenance of equipment, Staff manual \procedures NOP	Area Manager and Operational Managers. Energy Manager (Property Services)	 <p>Impact</p> <p>Likelihood</p>

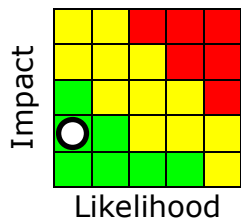
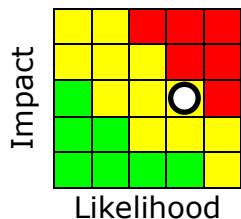
Appendix 1

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Failure to achieve income targets	Depressed economic climate; deterioration in quality of service offered; additional competition, Reduced attendances;	Impact on corporate financial position and Medium Term Financial Strategy	Programme review (2012/13) will consider options to encourage increased attendances; control expenditure; monitor performance	Sports and Leisure Manager; Area Manager	
Failure of partnerships	Divergence of aims and intent between partners, withdrawal of funding.	Reduced community sports offering in district. Possible loss of income to Council	Formal partnership agreements in place; monthly operational meetings with partners and budget monitoring.	Sports and Leisure Manager; Area Manager	

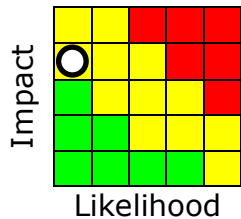
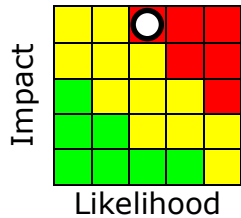
Appendix 1

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Failure of Golf contract	Failure of the contract operated by Mack Golf at NewboldComyn Golf Course (under lease until 2060)	Financial impact on WDC due to loss of income from contract. Impact on operation of golf course and need to re-tender for new operator.	Regular quarterly contract meetings between Mack Golf and WDC officers responsible for managing the contract. Reports to Cllrs on annual basis or by exception if issues emerge.	Sport and Leisure Manager	
Inability to run BACS DD system	Loss of software	Inability to collect income each month from DD accounts	WDC server to run BACS and Flex Ongoing training for other staff to operate the system in the absence of the Business Support Manager	Business Support Manager	

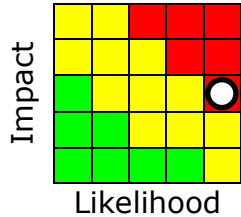
Appendix 1

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Loss of Flex system	Power failure Loss of server during out of hours periods	Restricted Service until reinstated	Users still able to access service manually	Business Support Manager; Operational Managers	
Withdrawal of support for Flex software	ClarityLive software replacing Flex	Anticipated need to replace Flex software to operate leisure centres before 2016	Ongoing dialogue with Clarity re options to replace Flex	Business Support Manager; Sports and Leisure Manager	

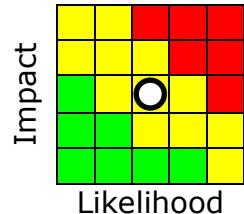
Appendix 1

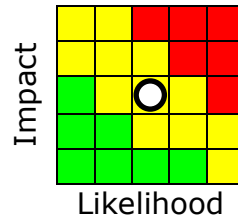
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Failure to manage or appropriately support Events within the District	Insufficient staff cover Failure to follow procedure Unexpected occurrence	Unsafe Event Injury to customers, participants Damage to open space or equipment	Use of Operational Procedure format to ensure all appropriate plans and contingency arrangements are in place	Sports & Leisure Manager Events Management Officers	
Art Gallery & Museum Risks					
Flooding of Royal Pump Rooms	Heavy rainfall causes river flooding	Reduction or loss of service until damage made good	Early warning from National Floodline service; flood barrier system to protect AG&M art store and temp exhib gallery; maintain up-to-date Emergency Manual	Heritage & Arts Manager; RPR Building Supervisor; Property Services Manager	

Appendix 1

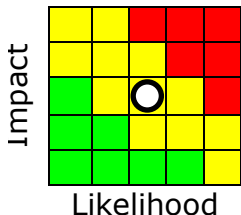
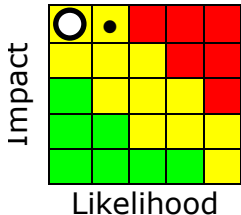
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Leaks into RPR from roof	Heavy rainfall penetrates roof (condition survey by EC Harris identified extent of damaged areas)	Reduction of service until damage made good; water damage to collections	<p>Maintain roof in good condition; AG&M staff inspect galleries and stores after heavy rainfall; maintain up-to-date catalogue of collections and insurance schedule</p> <p>Condition survey to assess condition and inform repairs schedule</p>	<p>Heritage & Arts Manager;</p> <p>RPR Building Supervisor;</p> <p>Property Services Manager</p>	

Appendix 1

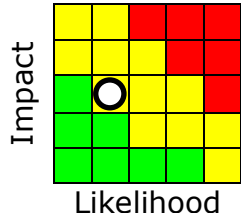
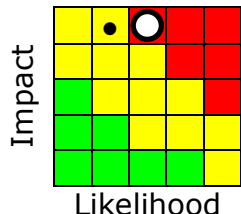
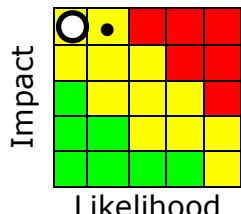
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Theft or damage to exhibits/ collections	Criminal activity by public or staff; water leaks from air-conditioning plant in store; failure of air-conditioning system; pest infestation in stores	Restricted service and / or loss of valuable items	Regular maintenance of intruder alarm system; trained staff invigilating galleries; maintain up-to-date catalogue of collections and insurance schedule; regular inspections of stores and ongoing pest-management programme; regular maintenance of air-conditioning plant	Arts & Heritage Manager; RPR Building Supervisor; Property Services Manager	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Loss of external grant funding	Change of policy or financial circumstances by grant awarding organisation/s	Reduction in quality and ambition of exhibitions and events programme; reduction in visitor numbers to AG&M	Ensure forward plan includes contingency for lower cost temporary exhibitions and events programme	Heritage & Arts Manager	
Royal Spa Centre and Town Hall Risks					

Appendix 1

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Failure to achieve budget targets	Depressed economic climate; Deterioration in quality of service offered; Reduction in available product; Additional competition; Reduced attendances; Unforeseen expenditure	Impact on corporate financial position and Medium Term Financial Strategy	RSC Business Plan (2011 - 2015) contains actions to encourage increased attendances; control expenditure; monitor performance. New structure in place April 2013	Theatre and Town Hall Manager	
Staffing gaps - inability to operate the venues.	Staff restructure; Ill health	Inability to present performances and events; Short term increase in staffing expenditure	Alternative staffing provision in place; new staff structure was put in place in April 2013; NOP and knowledge now shared widely amongst existing team	Theatre & Town Hall Manager	

Appendix 1

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Loss of Databox ticketing system	Technical failure	Inability to sell tickets; Loss of income	Manual system in place/IT backup.	Theatre and Town Hall Manager	
Theatre Plant/lighting failure	Various	Loss of service and loss of income	Maintenance programme; Equipment renewal scheduled for summer 2013; Short term provision in place.	Technical Team at Spa Centre; Property Manager	
Act of violence / threats against RSC staff / general public	Suspected drug dealers situated nearby; Lone working; Crime	Injury to staff / general public; Legal action, Loss of reputation; Loss of staff; Loss of income;	Lone working procedures and additional security measures in place; Working with Community Protection Officer	Theatre & Town Hall Manager	

Appendix 1

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Responsible Officer	Residual Risk Rating
Lack of ability to effectively monitor the movement of the public around the Town Hall site may result in property damage, theft or violence against staff.	Members of the public accessing building on a regular basis to visit tenants.	Property damage or theft may result in financial loss. Injury to staff / general public; Legal action, Loss of reputation; Loss of staff; Loss of income;	Two Operations personnel on Duty at all times. Box Office assistant on duty at reception 10am – 5pm.	Theatre & Town Hall Manager	<p>Impact</p> <p>Likelihood</p>