Cultural Services Risk Register (February 2017)

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
Generic Risks						
1. 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 (CSMT) Normal operating procedures/ emergency Action Plans (Section Heads & building managers) Contract management of operators procedures where they are responsible for delivery of services in Council venues.	On-going review of Fire Risk Assessment procedures – corporate project	Corporate Compliance Group	Impact Likelihood
2. 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	Review again after 1 st June 2017 following the leisure centres transferred to external operator.	Head of Cultural Services	Likelihood
3. Plant failure	Mechanical breakdown; structural failure. Equipment nearing end of life. Flooding in plant rooms	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 of faulty items as scheduled . RSC Dimmers and motors replaced July/Aug 2016	Implementation of replacement programme based on 2013 Condition Survey (2015/16 onwards)	Asset Manager & Energy Manager with building managers	Impact
4. 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 (Building Managers & Energy Manager Dimmers and motors replaced, reducing risk of power overload and potential for loss of power	Implementation of replacement programme based on 2013 Condition Survey(2015/16 onwards)	Asset Manager & Energy Manager & building managers	Likelihood

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
5. Loss of Electronic Data	Sabotage Malfunctions Inadequate staff training Loss of skilled people	Loss of income Breakdown of Service Loss of Reputation Disruption to forward planning	Back-up processes and software assurance (Section heads) Staff training (Section Heads) IT Support (ICT) Maintenance agreements Section Heads)		Section Heads with ICT	Likelihood
6. Failure to comply with Council Policy and/or legislation	Need for ongoing 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	Copy of Licences (Section Heads) Legal and Financial controls (ICT) Supervision and monitoring (building managers) Audit inspections (Finance & building managers)		Head of Cultural Services and Section Heads	Likelihood
7. Potential for financial loss through cash handling and banking procedures	Weak procedures Incomplete staff training Dishonesty Inaccurate record keeping	Financial loss Reputational loss Risks of threats to staff	Double-signing for staff cashing up (Building Managers) Contracts with G4S for banking and change supply Section Heads) Ongoing review of processes re G4S. Implementation of actions from 2016 audits. New on Line Reconciliation (OLR) processes implemented at Spa Centre and Town Hall April 2016		Sports & Leisure Contract Manager & Arts Manager Head of Finance	Likelihood Reduced likelihood due to temporary closure of NCLC (busiest site with greatest cash handling)

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
8. 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 New systems in place to comply with PCI DSS at all sites.	Ensure any new booking systems in future comply with PCI DSS – ongoing	Section Heads with ICT	Likelihood
9. Unauthorised access to buildings	Failure to check visitors ID Lack of access control Lack of staff awareness	Theft/vandalism Staff and customers at risk Loss of income through non payment	Audit reports Physical barriers to control entry where applicable (Building Managers) Staff training (Building Managers) Key codes/access control methods regularly changed (Building Managers) Normal operating procedures and supervisors guidelines	Ongoing vigilance at all sites as staff start in new roles at sites that they are not familiar with (restructure in Arts team and temporary pool closures leading to staff moving sites)	Building Managers	Impact I when the state of the
10. Accidents to staff and customers	Lack of health & safety good practice including contractors working in venues; unpreventable accidents	Loss of business Liability claims Loss of reputation Loss of staff working time	H&S audits (H&S reps & building managers) Accident reporting (building managers) Staff training (Section heads)		Building Managers	Likelihood

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
11. Abuse/ attacks on staff	Theft Vandalism Lone working Lack of training and knowing how to deal with situations	Staff injury Loss of staff time at work Stress Loss of confidence	Staff training and awareness, staff following guidelines of Normal Operating Procedures and Risk Assessments (Section Heads & Building Managers). Acceptable Behaviour Policy developed for leisure centres. Toolbox talk delivered for staff. Shared across Cultural Services. Toolbox talks include lone working procedures (Building Managers)		Section Heads and Building Managers	Impact
12. Legionella in operational buildings	Poor PPM Poor record keeping Lack of procedures or procedures not being followed Design of pipework Poor staff awareness	Serious public health issues/death Litigation and reputational risk Business risk	Legionella policy (Energy Manager & Safety Advisor) Staff training (Building Managers) Operational procedures (Building Managers) Senior officer group New corporate contract for maintenance - Hertel (summer 2014) Active H/MIS now visible at all sites. New files created for un- manned buildings to ensure robust records are held for legionella and other building checks		Corporate Compliance Group Building Managers	Impact
13. Loss of WDC network	Technical failure Floods Power cuts Viruses/hacking	Loss of access to data and/or loss of data; Loss of access to phones reduced services; slow communication	Back up processes (ICT) Business continuity plan (HoCS) Manual processes in place where appropriate (Section Heads) Mobile phones	Update Business Continuity Plan Feb/March 2017 then again post 1 st June 2017	Head of Cultural Services ICT and Building Managers	Impact

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
14. Loss of key management staff	Market forces; Illness Retirement Career progression Decision on leisure options	Loss of skills and knowledge Impact on remaining staff Loss of experience Reduced standards of service	Continued staff development to increase internal promotion opportunities (Section Heads) Succession planning (Section Heads & HoCS) Sharing of information (CSMT)	Monitor impact of new structures in Sports and Arts	Head of Cultural Services and Section Heads	Likelihood Uncertainty during change in teams
15. Unplanned loss of operational staff	Market factors - e.g. low pay Dissatisfaction, low morale Lapse of qualifications Disciplinary or dispute Illness	Restricted service or delay	HR procedures (Section Heads) Notice periods (Section heads & HR) Appraisals and 1:1 meetings (All Managers). Early appraisals for sports staff in light of management procurement process to address queries. Training matrix of qualifications (Section Heads)	Ongoing communications to sports and leisure site staff to ensure they are kept informed/engaged during the current outsourcing process. Monitor impact of Arts review and changed roles in this section.	Section Heads and Building Managers	Likelihood Uncertainty during change in teams and outscourcing of leisure centres
16. Non-compliant procurement	Lack of understanding of procurement policy. Urgency of procurement forces urgent action - without the necessary approval Procurement cards replacing petty cash	Non-compliant contracts awarded or cancelled at last minute. Risk of challenge to WDC. Loss of reputation of WDC Potential financial cost	Budget managers aware of Code of Procurement Practice and their roles within it. Training completed for budget holders (Section Heads) On-going advice from Procurement Officers (Section Heads) Contracts register completed and monitored (Nov 2016) Use of Warwickshire Legal Services to advise on complex/high value procurement projects.	Ongoing management and monitoring of Contracts Register by Cultural Services Management Team on a quarterly basis.	Section Heads	I Dad Likelihood

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
17. Failure to manage budgets	Unauthorised spending on codes without sufficient budget. Poor budget management Lack of timely accurate budget data from ledger Lack of compliance with Code of Financial Practice Incorrect raising and management of annual orders Reduce Business Support team resources from Jan 2017 Mis-use of procurement cards/not managed effectively	Financial loss to the Council Disciplinary action	Budget managers attend training by Finance team (Section Heads) Budget managers and Accountants monthly budget monitoring now well established (Budget Managers) Dedicated admin resources to support Arts team and Sport team as a result of restructures.	Refresher training with Finance for new budget managers following restructures. Temporary impact whilst team members becoming established in new posts.	Budget Managers	Likelihood Increased likelihood while budget managers bed into new roles
18. Withdrawal of partners	Change of strategic objectives of partners Economic pressures	Loss of external funding Inability to deliver specialist services	Maintain strong relationships with key partners (Section Heads & HoCS) Forward planning within partnerships (Section Heads & HoCS)		Section Heads	Likelihood
19. Failure of a major contract	Financial failure Breach of contract	Loss or suspension of service Loss of income Reputational loss	On-going robust contract monitoring (HoCS & AJ) Strong partnership and relationship (contract managers as appropriate) Advance planning for re-let at end of contract (HoCS) Proposed extension of catering contract to Feb 2019 (to allow plans to develop for the future use of the Pump Rooms)		Head of Cultural Services	Likelihood Increased stability in catering contract and 12 month extension

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
20. 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	Detailed contract documents which make responsibility clear and unambiguous regarding responsibilities. Sound management of leaseholders in partnership with Estates Manager (Section Heads) Sound legal advice from Warwickshire Legal Services	H&PS to send letters to all leaseholders regarding their responsibilities.	Section Heads Estates Manager	Likelihood
21. Loss of crucial suppliers of specialist goods	Various	Impact on service delivery	Consider alternative suppliers (Section Heads)		Section Heads	Likelihood
Sports & Leisure Ris	ks		1			
22. Serious Injury, Heart attack, Loss of Life,- Pools, Gyms & Sports Halls	Medical Conditions, Cleaning	Potential injury to staff \ users, potential loss of life, Insurance Claims, Loss of Reputation, Effects on - income, morale, & staff trauma	Normal Operating Procedures (NOP) (amended to reflect impact of building works at SNPLC) Trained and qualified staff Admissions Policy Risk Assessments, Staff training; AED in selected sites Industry Advice (S&L Manager, Area Manager, Ops Managers)		Sports Area Manager with Ops Managers	Likelihood

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
23. Plant failure	Poor maintenance, failure of components, Malfunction of equipment, Chemical leak, Water/gas leak. Equipment nearing end of life (EC Harris report and Property Service review)	Potential injury to staff/users, potential inability to maintain safe operating environment, Building Closure Revenue/reputation effects	Trained and qualified staff (WPM and pool staff). Regular maintenance of equipment (WPM) Staff manual \procedures NOP (Ops Managers) Investment projects underway at SNPLC & NCLC including renewal of significant elements of the plant	Implement replacement programme based on 2013 Condition Survey, outcome of Options Appraisal report (November 2014),	Asset Manager and Energy Manager with building managers	Likelihood Based on Condition survey evidence suggests some items nearly end of life.
24. Failure to achieve income targets	Divergence of aims and intent between partners, withdrawal of funding. Limitation of Flex system to maximise income development eg online booking Temporary closure of leisure facilities during improvements works (Jan 2017 onwards)	Reduced community sports offering in district. Possible loss of income to Council 2016/17 budgets will be significantly impacted by building works at Newbold Comyn and St Nicholas Park. Estimated loss of c.£142k	Formal partnership agreements in place; monthly operational meetings with partners and budget monitoring (Sports & Leisure Manager; Area Manager) Revised budgets agreed with Finance for April/May 2017 in leisure centres.		Budget Managers	Impact
25. Failure of Golf contract	Failure of the contract at Newbold Comyn Golf Course (under lease to 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 Loss of Council reputation	Regular monthly contract meetings with WDC officers responsible for managing contract. Report to Councillors on annual basis or by exception if issues emerge Ongoing dialogue with contractor to address issues as they emerge. Legal and procurement advice received in considering Plan B should the contract fail		Sports & Leisure Manager DCE (AJ) and Head of Cultural Services	Likelihood Ongoing dialogue between WDC and contractor. No quick solution to issues.

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
26. Inability to run BACS DD system	Loss of software Competent staff unavailable	Inability to collect income each month from DD accounts	WDC server to run BACS and Flex New role for the Area Manager following the loss of the Business Support Manager in the recent restructure. Ongoing training. Additional support form ICT if required.	Agree process leading up to transfer to external operator 1 st June 2017 and support the staff carrying out this new role	Area Manager	Likelihood Changes in business support roles have increased likelihood
Loss of Flex (Clarity) system	Omnico software replacing Flex	Restricted Service until reinstated	Users still able to access service manually (Area Manager and Operational Managers)		Area Manager	Likelihood As service nears end of contract with supplier and clarity wind up Flex
28. Withdrawal of support for Flex software	Omnico software replacing Flex	Anticipated need to replace Flex software to operate leisure centres before 2016	On-going dialogue with Clarity re options to replace Flex	Clarity informed of end of licence end May to coincide with start of new management contract.	Area Manager	Impact
Drop in morale of operational staff during Leisure Development Programme process and the related uncertainty.	Options Appraisal into future delivery of Sports & leisure service	Reduced levels of service Loss of operational staff	Staff and Manager briefings throughout the process (September 2014 onwards) Unions included in briefings Communications Strategy developed and implemented October 2014	Ongoing communications to sports and leisure site staff to ensure they are kept informed/engaged in process.	Head of Cultural Services and Sports & Leisure Contract Manager	Likelihood Uncertainty during change in teams and outscourcing of leisure centres

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
Leisure Development Programme unable to hit milestones to deliver the Programme (investment and management strands) (Details see Programme Risk register)		Project costs increase Risk to commencement of the management contract Reputational damage and customer dissatisfaction. Impact on the concession paid by the external management contractor.	Programme Manager and Programme Board in place (Feb 2015). Clear roles and responsibilities within Programme team. Interim milestones agreed' critical actions identified. Separate Risk Register established for Programme for two workstreams (investment and management) Key risks in Programme Risk Register – staff resource from Finance and Housing & Property Services to support the current phase of the Programme. Ongoing monitoring by DCE (AJ) and Programme Board	Ongoing monitoring of Programme Risk Register by Programme Board.	Programme Manager and Programme Board	Impact Likelihood
Arts (previously Art	ts & Heritage and Spa Centre an	d Town Hall)				
32. Flooding of Royal Pump Rooms	Heavy rainfall causes river flooding	Reduction or loss of service until damage made good Potential loss or damage to most of the Collection if flooding severe.	Early warning from National Flood Watch system; flood barrier system to protect AG&M art store and temp exhibition gallery; maintain up-to- date Emergency Manual	Flood barriers being replaced (Order placed; works due March 2017) Additional barrier to be added to boiler room (as part of works above) Ongoing investigation of off site storage options for the collection	Arts Manager; Asset Manager	Likelihood Recent events suggest frequency is increasing

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
33. 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 Loss of WDC reputation and ability to receive items on loan in future	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 Condition survey to assess condition and inform repairs schedule Roof included in replacement programme based on Condition Survey (June 2013) Regular inspections of roof by contractor to clear debris and ensure drains are operational.	Identify timescale and work programme for roof replacement programme recommended in Condition Survey (June 2013) – Property Services	Arts Manager & Asset Manager	Likelihood
34. 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; leaks from pipes in upper floors and 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 on-going pest-management programme; regular maintenance of air-conditioning plant. Regular checks of storage of collection – safe and secure from damage	Leak detection system and shut off valves being investigated by Property Services as per Zurich report	Arts Manager, Technical and Facilities Manager Asset Manager	Impact

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
35. 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	Ongoing investigation of new sources of external funding. Development of a new strategy from the new Arts team	Arts Manager	Likelihood Increasing pressure on external grant funding streams
36. Failure to achieve budget targets	Depressed economic climate; Deterioration in quality of service offered; Reduction in available product; Additional competition; Reduced attendances; Unforeseen expenditure; loss of key hires	Impact on corporate financial position and Medium Term Financial Strategy	Management systems in place to encourage increased attendances; control expenditure; monitor performance. New structure in place Feb 2017 with Marketing and Programming team and increased focus on income generation. EPOS system installed in bars summer 2013 – better control of stock and monitoring of sales	Complete the consultation process leading to the integration of the VIC into the Arts team. This will include the relocation of the Box Office to the RPR with the objective of increased ticket sales and agency fees.	Arts Manager; Marketing and Programming Manager	Likelihood New structure in place within Arts team to increase income generation
37. Staffing gaps - inability to operate the venues.	Ill health, unexpected absences or leavers	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 Feb 2017; NOP and knowledge now shared widely amongst existing team Artifax system installed late 2013 – allows resource planning including staffing Integrated Arts team are more resilient and greater flexibility with the team working across 3 sites (RPR, RSC & TH)		Arts Manager Customer Services Manager Technical and Facilities Manager	Likelihood New structure has increased resilience within the team so impact less

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
38. Loss of Databox ticketing system	Technical failure	Inability to sell tickets; Loss of income	Manual system in place/IT backup. Options being considered for the server to be moved outside of the Council 2 nd firewall. Work on-going to move storage to Cloud in future (ICT)	Upgrading of Box Office system linked with Leamington VIC – due to be finalised June 2017	Arts Manager	Likelihood Recent loss of network and increase threat of hacking etc
39. Theatre Plant/lighting failure	Various	Loss of service and loss of income	Maintenance programme; New sound and lighting equipment purchased through ERR summer 2013; competent technical team established New dimmers and motors being installed July/Aug 2016 New structure from Feb 2017	Implement new Apprentice Technician post	Technical and Facilities Manager	Likelihood Replacement of dimmers and motors
40. Act of violence / threats against 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		Arts Manager	Likelihood
41. 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 or with intent to cause damage/find shelter etc	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;	Reduced Box Office opening hours impact on operational staff in the Town Hall at certain times. Back up support available during opening hrs from University security staff CCTV in some parts of the venue		Arts Manager	Likelihood