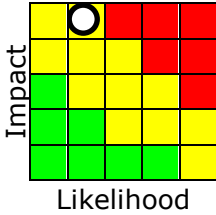
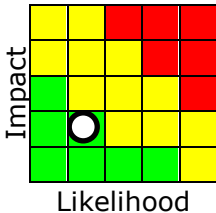
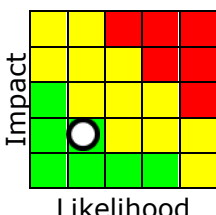
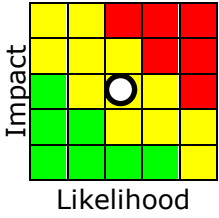
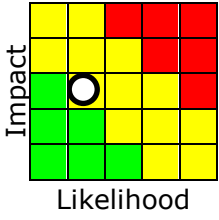
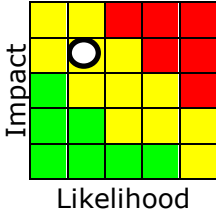
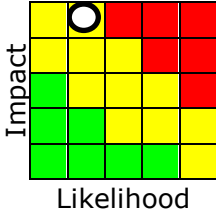
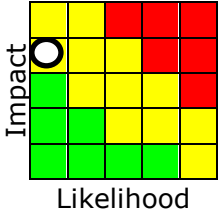
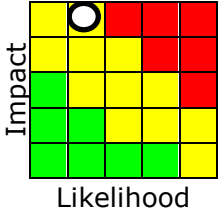


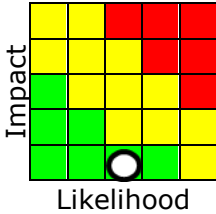
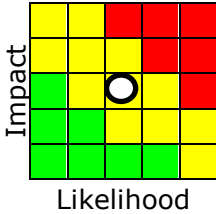
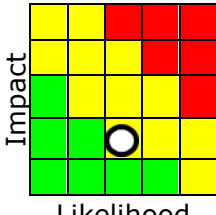
Cultural Services Risk Register (Feb 2019)

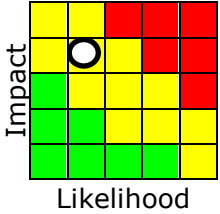
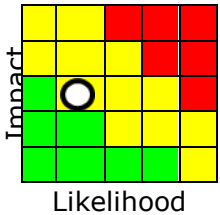
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
Generic Risks						
1. Loss or major damage to operational buildings	Fire Floods and storms Gas explosion Vandalism Civil unrest	Danger to occupants Non-availability 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	Building Managers Corporate Compliance Group	
2. Unplanned unavailability of R/H offices	Power failures Emergencies/ incidents including floods/ fire/terrorism	Minimal disruption to Cultural Services. Possible loss of data (hard copies).	WDC corporate approach for relocation of services. CS staff to relocate to Town Hall as temporary office space or home working. Business Continuity Plan for CS		Head of Cultural Services	
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 Replacement of faulty items as scheduled . RSC Dimmers and motors were replaced July/Aug 2016. Maintenance contract in place for boilers at sports pavilions	Implementation of replacement programme based on 2013 Condition Survey (2015/16 onwards)	Asset Manager & Energy Manager with building managers Asset Manager	

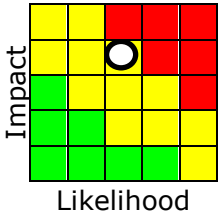
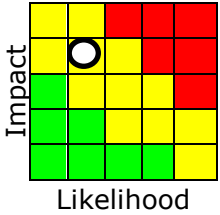
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
4. Loss of power/water	Local or external interruption to supply; power surge; failure of piece of equipment	Loss or restriction of service.	PPM - regular service by contractors (Building Managers & Energy Manager) Spa Centre 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 & building managers	
5. Moved to new risk 44						
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	Legal and Financial controls (ICT) Supervision and monitoring (building managers) Audit inspections (Finance & building managers) Managers and Team Leaders on IOSH Managing Safely courses Training – HR for non HR Managers (employment legislation)		Head of Cultural Services and Section Heads	
7. Moved to new risk 42						
8. Moved to new risk 43						

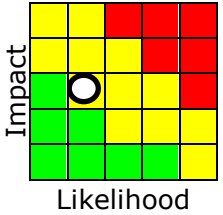
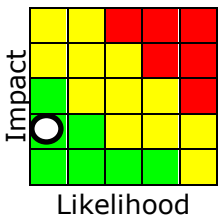
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
<p>9. Unauthorised access to buildings</p>	<p>Failure to check visitors ID Lack of access control Lack of staff awareness Lack of management of visitors to Riverside House</p>	<p>Theft/vandalism Staff and customers at risk Loss of income through non payment</p>	<p>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 Installation of intruder alarm at Harbury Lane sports pavilion, and extension of alarm at Newbold Comyn sports pavilion</p>	<p>Ongoing vigilance at all sites and Riverside House</p>	<p>Building Managers</p>	
<p>10. Accidents to staff and customers</p>	<p>Lack of health & safety good practice including contractors working in venues Unpreventable accidents</p>	<p>Injury to individuals Loss of business Liability claims Loss of reputation Loss of staff working time</p>	<p>H&S audits (H&S reps & building managers) Accident reporting (building managers) Staff training (Section heads)</p>		<p>Building Managers and team leaders</p>	

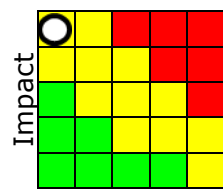
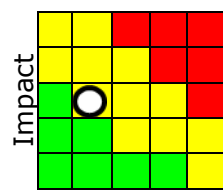
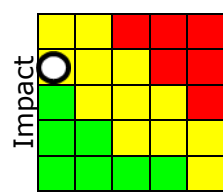
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
11. Abuse/ attacks on staff	Theft Vandalism Lone working Lack of training and knowing how to deal with situations	Staff injury Loss of staff time at work Stress Loss of confidence	Staff training and awareness, staff following guidelines of Normal Operating Procedures and Risk Assessments (Section Heads & Building Managers). Acceptable Behaviour Policy developed and shared across Cultural Services. Toolbox talks include lone working procedures (Building Managers) Meta training on Lone Working		Section Heads and Building Managers	
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 Corporate contract for maintenance - Hertel 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. Pending full implementation of new Assets team structure - temp post in "sports team" to ensure full compliance and full records (end of fixed term Jan 2019)	Awaiting implementation of new Assets structure which includes Compliance posts,	Corporate Compliance Group Building Managers	

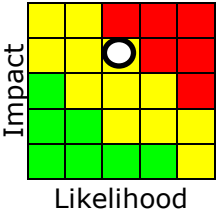
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
13. Loss of WDC network	Technical failure Floods/Fire Power cuts Viruses/hacking Human error/malicious damage Telecoms failure Lack of knowledge	Loss of access to data and/or loss of data; Loss of access to phones Reduced services; slow communication Potential loss of income	Back up processes (ICT) Business continuity plan (HoCS) Manual processes in place where appropriate (Section Heads) Mobile phones Updated Business Continuity Plan Nov 2017 Box Office ticketing system, Artifax, and telephones within the Arts team moved to the Cloud.		Head of Cultural Services ICT and Building Managers	
14. Loss of key management staff	Market forces; Illness Retirement Career progression	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) Workforce planning (Section Heads & HoCS) Sharing of information (CSMT) Workforce planning actions as per the Workforce Steering Group		Head of Cultural Services and Section Heads	
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). Training matrix of qualifications (Section Heads)		Section Heads and Building Managers	

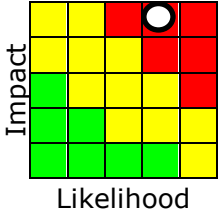
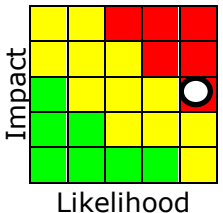
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
<p>16. Non-compliant procurement</p>	<p>Lack of understanding of procurement policy.</p> <p>Urgency of procurement forces urgent action - without the necessary approval</p> <p>Procurement cards replacing petty cash</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 completed for budget holders (Section Heads)</p> <p>On-going advice from Procurement Officers (Section Heads)</p> <p>Contracts register completed and monitored (Jan 2019)</p> <p>Contributions made to Corporate Procurement Plan 2019/20</p> <p>Use of Warwickshire Legal Services to advise on complex/high value procurement projects.</p>	<p>Awareness raising of new Code of Procurement</p>	<p>Section Heads</p>	
<p>17. Failure to manage budgets</p>	<p>Unauthorised spending on codes without sufficient budget.</p> <p>Poor budget management</p> <p>Lack of timely accurate budget data from ledger</p> <p>Lack of compliance with Code of Financial Practice</p> <p>Incorrect raising and management of annual orders</p> <p>Reduce Business Support team resources from Jan 2017</p> <p>Mis-use of procurement cards/not managed effectively</p>	<p>Financial loss to the Council</p> <p>Disciplinary action</p>	<p>Budget managers attend training by Finance team (Section Heads)</p> <p>Budget managers and Accountants monthly budget monitoring now well established (Budget Managers)</p> <p>Dedicated admin resources to support Arts team and Sport team as a result of restructures.</p> <p>Regular "cost" meetings within teams responsible for managing capital projects – project</p>		<p>Budget Managers</p>	

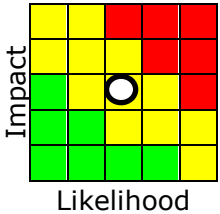
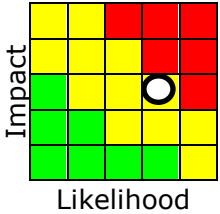
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
<p>18. Withdrawal of partners</p>	<p>Change of strategic objectives of partners</p> <p>Economic pressures</p>	<p>Loss of external funding</p> <p>Inability to deliver specialist services</p>	<p>Maintain strong relationships with key partners (Section Heads & HoCS)</p> <p>Forward planning within partnerships (Section Heads & HoCS)</p>		Section Heads	
<p>19. Failure of a major contract</p>	<p>Financial failure</p> <p>Breach of contract</p>	<p>Loss or suspension of service</p> <p>Loss of income</p> <p>Reputational loss</p>	<p>On-going robust contract monitoring (HoCS & AJ)</p> <p>Strong partnership and relationship (contract managers as appropriate)</p> <p>Advance planning for re-let at end of contracts (HoCS)</p> <p>Client team established to monitor leisure contract</p> <p>Following end of golf contract – options appraisal ongoing</p> <p>New catering contractor appointed from 5th Jan 2019. Contract management processes in place lead by Arts Manager</p>		Head of Cultural Services	

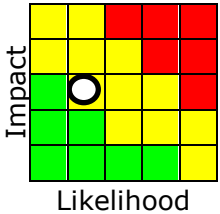
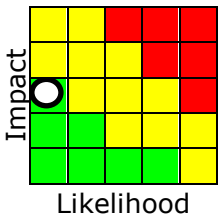
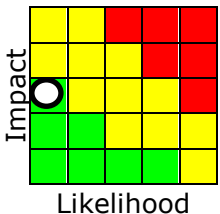
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
<p>20. Management of leaseholders/tenants to ensure compliance</p>	<p>Failure to comply with terms of lease or agreement</p>	<p>Reputational damage to Council</p> <p>Possible litigation</p> <p>Loss of income</p>	<p>Detailed contract documents which make responsibility clear and unambiguous regarding responsibilities.</p> <p>Sound management of leaseholders in partnership with Estates Manager (Section Heads)</p> <p>Sound legal advice from Warwickshire Legal Services</p> <p>Contract monitoring of Cultural Services contracts include checking of records on compliance</p>	<p>H&PS to send letters to all leaseholders regarding their responsibilities.</p>	<p>Section Heads</p> <p>Estates Manager</p>	
<p>21. Loss of crucial suppliers of specialist goods</p>	<p>Various</p>	<p>Impact on service delivery</p>	<p>Consider alternative suppliers that could be used in the event of a supplier failure (Section Heads)</p> <p>Managers aware of Code of Procurement and the actions that can be taken in the event of unplanned end of contract; approved emergency actions.</p> <p>Effective contract management by managers so that they are aware of any impending issues with suppliers</p>	<p>Roll out of new Code of Procurement once approved</p>	<p>Section Heads</p>	

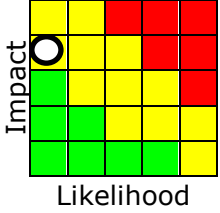
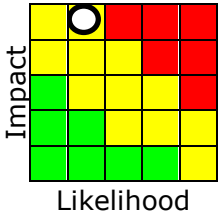
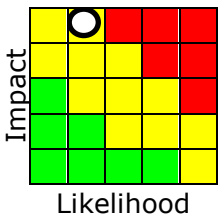
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
Sports & Leisure Risks						
22. Serious Injury, Heart attack, Loss of Life, – pitches, community sports events	Accidents, Medical Conditions, Cleaning chemicals, Lack of compliance with procedures by staff or contractors	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 Risk Assessments, Staff training; AED in selected sites Industry Advice (S&L Contract Manager, S&L Contract Officer)		Sports & Leisure Contract Manager and Sports & Leisure Contract Officer	
23. Plant failure (pavilions only)	Poor maintenance, failure of components, Malfunction of equipment, Water/gas leak. Plant 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	Regular maintenance of equipment (contractors) Staff manual \procedures NOP	Revise and implement replacement programme based on 2013 Condition Survey, outcome of Options Appraisal report (November 2014),	Asset Manager and Energy Manager with Sports and Leisure Contract Officer	
24. Deleted						
25a. Deleted						
25b. Failure of leisure centre management contract	Failure of contract to manage the 6 leisure centres. 10 year contract from June 2017 with option for 5 year extension.	Financial impact on WDC due to loss of income from contract. Impact on operation of the leisure centres and the need to re-tender for new operator Loss of Council reputation	Robust procurement of selected operator in 2017 Client team established. Regular contract management controls in place Key performance indicators monitored and quarterly reports received. Review of first 12 months performance. Report received November 2018	Future Annual reports from Everyone Active – September each year.	Sports and Leisure Contract Manager DCE (AJ) and Head of Cultural Services	
26. Deleted						

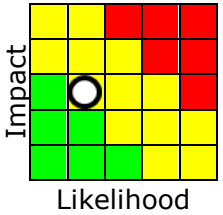
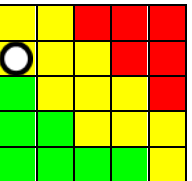
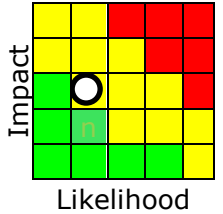
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
27. Deleted						
28. Deleted						
29. Deleted						
<p>31. Leisure Development Programme unable to hit milestones to deliver the Programme (investment and management strands)</p> <p>(Details see Programme Risk register)</p>	<p>Some work streams within the programme fail to be completed, resulting in projects not able to progress as per milestones in Programme.</p>	<p>Project costs increase</p> <p>Risk to commencement of the management contract</p> <p>Reputational damage and customer dissatisfaction.</p> <p>Impact on the concession paid by the external management contractor.</p>	<p>Programme Manager and Programme Board in place (posts now permanent). Clear roles and responsibilities within Programme team. Interim milestones agreed' critical actions identified.</p> <p>Separate Risk Register established for Programme for two work streams (investment and management)</p> <p>Key risks in Programme Risk Register. Ongoing monitoring by DCE (AJ) and Programme Board</p> <p>Phase II (Kenilworth) – milestones and governance to be agreed</p>		<p>Programme Manager and Programme Board</p>	 <p>Impact</p> <p>Likelihood</p>

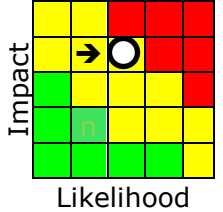
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
Arts (previously Arts & Heritage and Spa Centre and Town Hall)						
32. Flooding of areas of the Royal Pump Rooms	Heavy rainfall causes river flooding.	Reduction or loss of service until damage made good. Potential loss or damage to most of the Collection if flooding severe. Damage to M&E plant in the boiler room and impact on the building. This could impact on staff and customers depending on severity.	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. Additional barrier added to boiler room (as part of works above). New sandbag system in place for Royal Pump Rooms from Autumn '18.		Arts Manager Asset Manager	
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 fair 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	

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
<p>34. Theft or damage to exhibits / collections</p>	<p>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</p>	<p>Restricted service and / or loss of valuable items</p>	<p>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.</p> <p>Regular checks of storage of collection – safe and secure from damage.</p> <p>The floor of the staff area directly above the art store is now sealed and emergency shut off valve installed.</p>		<p>Arts Manager, Technical and Facilities Manager Asset Manager</p>	
<p>35. Loss of external grant funding</p>	<p>Change of policy or financial circumstances by grant awarding organisation/s</p>	<p>Reduction in quality and ambition of exhibitions and events programme; reduction in visitor numbers to AG&M</p>	<p>Ensure forward plan includes contingency for lower cost temporary exhibitions and events programme.</p> <p>Museum accreditation successfully re-attained in Oct 18.</p>	<p>Ongoing investigation of new sources of external funding and self generated income.</p> <p>Development of a new strategy from the new Arts team</p>	<p>Arts Manager</p>	

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
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. New Electronic Point of Sale (EPOS) system procured to be installed in bars in 2018 – better control of stock and monitoring of sales Relocation of Box Office to Pump Rooms and combined with Tourist Information function – extra sales/income		Arts Manager; Marketing and Programming Manager	
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	
38. Loss of ProVenue ticketing system	Technical failure Ticket.com ceases trading	Inability to sell tickets; Loss of income	Manual system in place/IT backup. Box Office system linked with Leamington VIC and upgraded – completed July 2017. Ticketing solution was moved to cloud based solution – no longer reliant on WDC network.		Arts Manager	

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
<p>39. Theatre Plant/lighting failure</p>	<p>Various</p>	<p>Loss of service and loss of income</p>	<p>Maintenance programme; New sound and lighting equipment purchased through ERR summer 2013; competent technical team established</p> <p>New dimmers and motors installed July/Aug 2016</p> <p>New staff structure implemented from Feb 2017</p> <p>New Apprentice Technician post appointed</p>		<p>Technical and Facilities Manager</p>	
<p>40. Act of violence / threats against staff / general public</p>	<p>Suspected drug dealers situated nearby; Lone working; Crime</p>	<p>Injury to staff / general public; Legal action, Loss of reputation; Loss of staff; Loss of income;</p>	<p>Lone working procedures and additional security measures in place; Working with Community Protection Officer</p> <p>Installation of CCTV internally at Spa Centre</p> <p>Staff attend corporate Lone Working awareness training</p>		<p>Arts Manager</p>	
<p>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, tenants and other users.</p>	<p>Members of the public accessing building on a regular basis to visit tenants or with intent to cause damage/find shelter etc</p>	<p>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;</p>	<p>Facility staff on the front desk at the Town Hall at all times.</p> <p>Back up support available during opening hrs from University security staff</p> <p>CCTV in some parts of the venue</p> <p>Specific Risk Assessments done on the move of the MP into Room 23 at the Town Hall. Home Office signed off control measures.</p>		<p>Arts Manager</p>	

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
<p>42. Potential for financial loss through cash handling and banking procedures</p>	<p>Weak procedures Incomplete staff training Dishonesty Inaccurate record keeping Ongoing issues with OLR2 (online reconciliation of income) processes</p>	<p>Financial loss Reputational loss Risks of threats to staff</p>	<p>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. OLR2 withdrawn and revert back to manual processes permanently until Finance can procure a new system.</p>		<p>Arts Manager Head of Finance</p>	
<p>43, Credit card fraud</p>	<p>Dishonesty; lack of robust procedures</p>	<p>Loss of income; complaints re loss of public funds; Disciplinary action</p>	<p>PCI DSS controls for credit card transactions and review of processes; ICT training; clear nominated users of ICT systems New systems in place to comply with PCI DSS at all sites. New booking systems comply with PCI DSS</p>		<p>Section Heads with ICT</p>	
<p>44. Loss of Electronic Data</p>	<p>Sabotage Malfunctions Inadequate staff training Loss of skilled people</p>	<p>Loss of income Breakdown of Service Loss of Reputation Disruption to forward planning Financial cost of recovery</p>	<p>Back-up processes and software assurance (Arts Manager) Staff training (Arts Manager) IT Support (ICT) Maintenance agreements (Arts Manager) Copy of Licences (Arts Manager)</p>		<p>Arts Manager with ICT</p>	

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Required action	Responsible Officer	Residual Risk Rating
<p>45. Failure of Catering & Events concessions contract at Royal Pump Rooms / Restaurant In The Park</p>	<p>New start up company takes on the operation from March 2019. Recession / financial downturn.</p>	<p>Loss of income Breakdown of Service Loss of Reputation Disruption to forward planning Financial cost of re-providing</p>	<p>WDC insulated from risk by sub-contracting through CDP. Contractual agreement has tight service level expectations</p>	<p>Ongoing effective Contract management</p>	<p>Arts Manager</p>	 <p>New caterer, less well established</p>