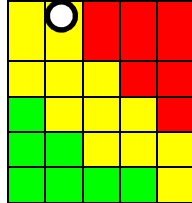
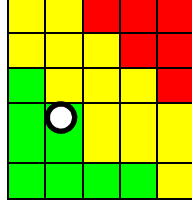
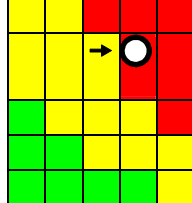
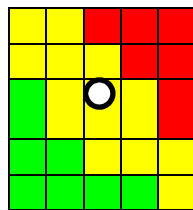
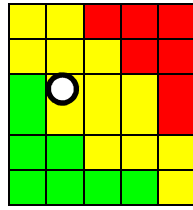
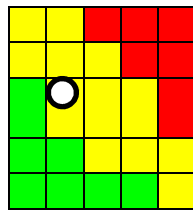
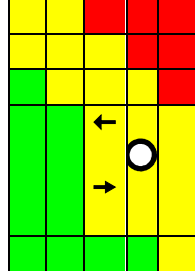
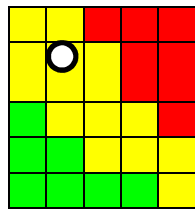
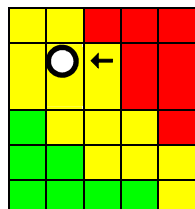
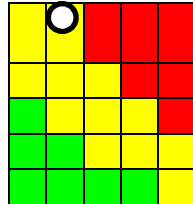
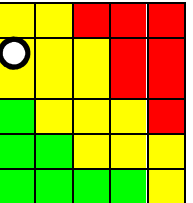
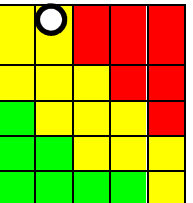


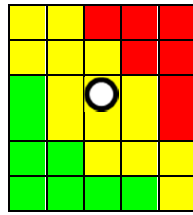
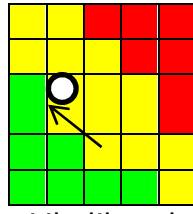
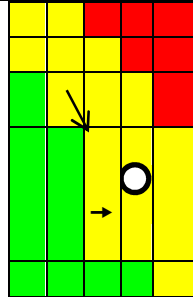
Cultural Services Risk Register

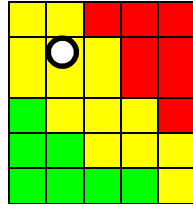
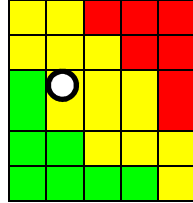
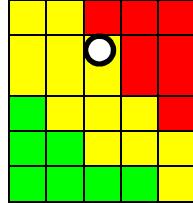
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
Generic Risks						
Loss or major damage to operational buildings	Fire Floods and storms Gas explosion Vandalism Civil unrest	Danger to occupants 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)	On-going review of Fire Risk Assessment procedures – corporate project	Corporate Compliance Group	 <p>Likelihood</p>
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		Head of Cultural Services	 <p>Likelihood</p>
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	Implementation of replacement programme based on 2013 Condition Survey (2015/16 onwards) Plan replacement of motors and dimmers – Royal Spa Centre (Summer 2016 installation)	Asset Manager & Energy Manager with building managers	 <p>Likelihood</p> <p>Based on Condition survey evidence suggests some items nearing end of life.</p>

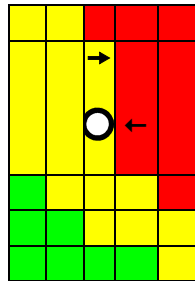
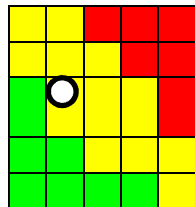
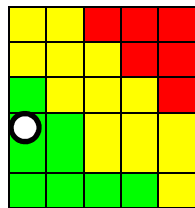
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
Loss of power/water	Local or external interruption to supply; power surge; failure of piece of equipment	Loss or restriction of service.	PPM - regular service by contractors or WPM (Building Managers & Energy Manager)	Implementation of replacement programme based on 2013 Condition Survey(2015/16 onwards) Plan replacement of motors and dimmers – Royal Spa Centre (Summer 2016 installation)	Asset Manager & Energy Manager & building managers	 Likelihood
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 (Section heads) Staff training (Section Heads) IT Support (ICT) Maintenance agreements Section Heads) Copy of Licences (Section Heads)		Section Heads with ICT	 Likelihood
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 (ICT) Supervision and monitoring (building managers) Audit inspections (Finance & building managers)		Head of Cultural Services and Section Heads	 Likelihood

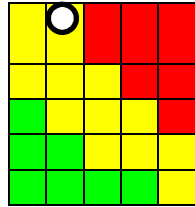
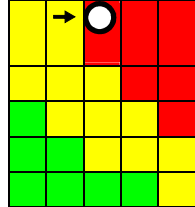
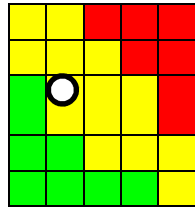
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
Potential for financial loss through cash handling and banking procedures	Weak procedures Incomplete staff training Dishonesty Inaccurate record keeping New on Line Reconciliation (OLR) processes to be implemented	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) Review of processes re G4S following minor incidents summer 2013 (Section Heads)	Ongoing OLR training for staff at Spa Centre and leisure centres. (Awaiting dates from Finance for roll out of OLR)	Section Heads	 <p>Likelihood</p> <p>Increased likelihood until OLR implemented</p>
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	Ensure any new booking systems in future comply with PCI DSS - ongoing	Section Heads with ICT	 <p>Likelihood</p>
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 (Business Support Manager) 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		Building Managers	 <p>Likelihood</p> <p>Building managers worked with frontline staff to reinforce need for vigilance.</p>

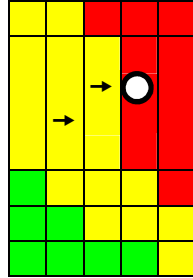
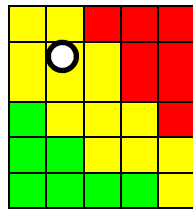
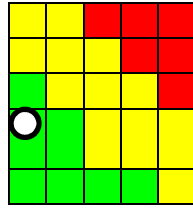
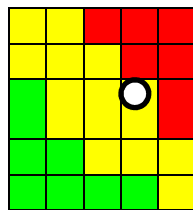
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
Accidents to staff and customers	Lack of health & safety good practice; unpreventable accidents	Loss of business Liability claims Loss of reputation Loss of staff working time	H&S audits (H&S reps & building managers) Accident reporting (building managers) Staff training (Section heads)		Building Managers	 Likelihood
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. Lone working procedures (Building Managers)		Section Heads and Building Managers	 Likelihood
Legionella in operational buildings	Poor PPM Poor record keeping Lack of procedures 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)	Conclude discussions re Active H/MIS system to allow all remote site managers to be able to view documents/records – summer 2015	Corporate Compliance Group	 Likelihood

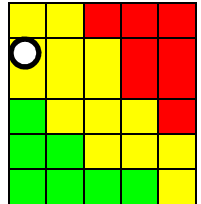
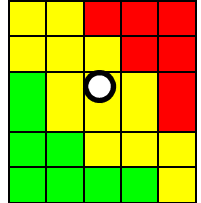
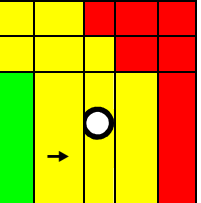
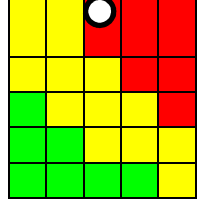
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
Loss of WDC network	Technical failure Floods Power cuts	Loss of data; Loss of phones reduced services; slow communication	Back up processes (ICT) Business continuity plan (HoCS) Manual processes in place where appropriate (Section Heads) Mobile phones	Following loss of network on 11 th May – RSC and Town Hall reviewing their BCP to address unavailability of Box Office and website	ICT and Building Managers	 <p>Likelihood</p>
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 to increase internal promotion opportunities (Section Heads) Succession planning (Section Heads & HoCS) Sharing of information (CSMT)		Head of Cultural Services and Section Heads	 <p>Likelihood</p>
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)	Ongoing communications to sports and leisure site staff to ensure they are kept informed/engaged in process	Section Heads and Building Managers	 <p>Likelihood</p> <p>Increased likelihood until decisions made on future provision in Sports & Leisure</p>

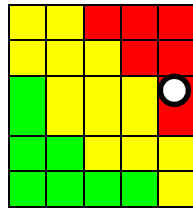
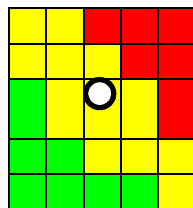
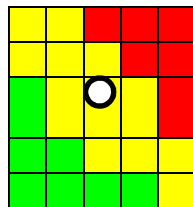
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
Non-compliant procurement	<p>Lack of understanding of procurement policy.</p> <p>Urgency of procurement forces urgent action - without the necessary approval</p> <p>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</p>	Ongoing management and monitoring of Contracts Register	Section Heads and Budget Managers	 <p>Likelihood</p>
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>Incorrect raising and management of annual orders</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>		Budget Managers	 <p>Likelihood</p>
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 (Section Heads & HoCS)</p> <p>Forward planning within partnerships (Section Heads & HoCS)</p>		Section Heads	 <p>Likelihood</p>

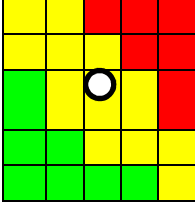
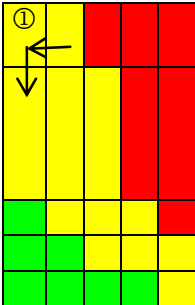
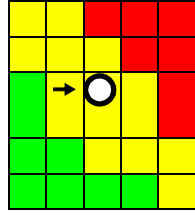
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
Failure of a major contract – Kudos Catering	Financial failure Breach of contract	Loss or suspension of service Loss of income Reputational loss	On-going robust contract monitoring (HoCS & AJ) Strong partnership and relationship (HoCS & Business Support Manager) Advance planning for re-let at end of contract (HoCS) Aviary released from contract and re-let to separate local company (July 2014)		Head of Cultural Services	 <p>Likelihood</p> <p>Ongoing monitoring of performance.</p>
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 (Section Heads) Sound legal advice from WCC		Section Heads with Estates Manager	 <p>Likelihood</p>
Loss of crucial suppliers of specialist goods	Various	Impact on service delivery	Consider alternative suppliers (Section Heads)		Section Heads	 <p>Likelihood</p>
Sports & Leisure Risks						

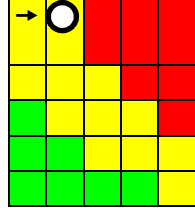
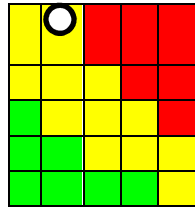
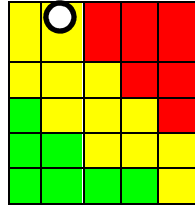
Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
Serious Injury, Heart attack, Loss of Life,- Pools, Gyms & Sports Halls	Accidents, Medical Conditions, Cleaning chemicals, Lack of compliance with 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 (S&L Manager, Area Manager, Ops Managers)		Sports Area Manager with Ops Managers	 <p>Likelihood</p>
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)	Implement replacement programme based on 2013 Condition Survey and outcome of Options Appraisal report (November 2014) Subject to Executive decision in Sept 2015 re investment in facilities and plant	Asset Manager and Energy Manager with building managers	 <p>Likelihood</p> <p>Based on Condition survey evidence suggests some items nearly end of life.</p>
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	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 & Leisure Manager; Area Manager)		Sports Area Manager with Ops Managers	 <p>Likelihood</p>

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
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	Regular quarterly contract meetings of contractor and WDC officers responsible for managing contract. Report to Councillors on annual basis or by exception if issues emerge Ongoing dialogue with contractor to establish way forward. Legal and procurement advice being sought in considering Plan B	Ongoing contract management and discussions with contractor.	Sports & Leisure Manager	 Likelihood Decline of golf sector and pressure on contract terms
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 On-going training for other staff to operate the system in the absence of the Business Support Manager (Business Support Manager)		Business Support Manager	 Likelihood
Loss of Flex (Clarity) system	ClarityLive software replacing Flex	Restricted Service until reinstated	Users still able to access service manually (Business Support Manager; Operational Managers)		Sports & Leisure Manager	 Likelihood
Withdrawal of support for Flex software	ClarityLive 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	Pending outcome of Options Appraisal Sept 2015) – consider alternative systems to replace Flex	Sports & Leisure Manager	 Likelihood

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
Failure to manage or appropriately support Events within the District	Insufficient staff cover Failure to follow procedure Unexpected occurrences	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 (Events Management Officers; Sports & Leisure Manager)		Sports & Leisure Manager	 Likelihood
Drop in morale of operational staff during Leisure Development Programme process	Options Appraisal into future delivery of Sports & leisure service	Reduced levels of service Loss of 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 Manager	 Likelihood
Leisure Development Programme unable to hit milestones to bring report to Exec in Sept 2015	Some work streams within the programme fail to be completed, resulting in incomplete report and lack of evidence to support anticipated recommendations	Delay in progressing decision re future delivery of sports & leisure, and consequent impact on financial position of Council.	Programme Manager and Programme Board in place (Feb 2015). Clear roles and responsibilities within Programme team. Interim milestones agreed' critical actions identified. PIDs established for each work stream Separate Risk Register established for Programme	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		 Likelihood
Arts & Heritage 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 exhibition gallery; maintain up-to-date Emergency Manual	In conjunction with Property Services review existing flood defence provision within building (e.g. condition of flood barriers, flood alarms)	Heritage & Arts Manager; Asset Manager	 Likelihood

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	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 Roof included in replacement programme based on Condition Survey (June 2013)</p>	Agree schedule for regular inspections of roof; identify timescale and work programme for roof replacement programme recommended in Condition Survey (June 2013). Summer 2015	Arts & Heritage Manager & Asset Manager	 <p>Likelihood</p>
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 on-going pest-management programme; regular maintenance of air-conditioning plant		Arts & Heritage Manager; RPR Operations Supervisor; Asset Manager	 <p>Likelihood</p>
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	 <p>Likelihood</p>

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
Royal Spa Centre & Town Hall Risks						
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 Purchase of digital projector to support re-launch of cinema activities (late 2013) EPOS system installed in bars summer 2013 – better control of stock and monitoring of sales		Theatre and Town Hall Manager	 <p>Likelihood</p>
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 April 2013; NOP and knowledge now shared widely amongst existing team Artifax system installed late 2013 – allows resource planning including staffing		Theatre & Town Hall Manager	 <p>Likelihood</p>
Loss of Databox ticketing system	Technical failure	Inability to sell tickets; Loss of income	Manual system in place/IT backup. Server to be moved outside of the Council 2 nd firewall. Work on-going to move storage to Cloud in future (ICT)	Develop business case for replacement ticketing system – ongoing summer 2015	Theatre and Town Hall Manager	 <p>Likelihood</p>

Risk description	Possible Triggers	Possible Consequences	Risk Mitigation/ Control	Further Action(s) (if appropriate)	Responsible Officer	Residual Risk Rating
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	Plan replacement of motors and dimmers – Royal Spa Centre (implement summer 2016)	Technical Team at Spa Centre	 <p>Likelihood</p> <p>Track movement</p>
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	 <p>Likelihood</p>
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;	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		Theatre & Town Hall Manager	 <p>Likelihood</p>