Committee:	Date:
Culture, Heritage and Libraries Committee	7 March 2016
Subject: Departmental Risk Report – Q1/Q2/Q3	**Public**
Report of: Director of Culture, Heritage and Libraries **Report author:** Margaret Jackson - Policy & Performance Manager	**For Information**

Summary

- This report has been produced to provide Culture Heritage & Libraries (CHL) Committee with assurance that risk management procedures in place within the Culture Heritage & Libraries Department are satisfactory and that they meet the requirements of the Corporate Risk Management Framework.

- Departmental risks are reviewed quarterly by the Senior Management Team as part of the on-going management of the department.

- The Culture Heritage & Libraries Department is responsible for five departmental risks which have previously been reported to this committee as part of the main business plan documentation and a new risk identified in Q3 at Keats House.

- The summary risk information is set out in Appendix 1.

- Top X H&S risks will be reported to CHL Committee from April 2016 onwards.

Recommendation

- Members are asked to note the contents of the report and the actions taken in the Culture Heritage & Libraries Department to monitor and manage effectively risks arising from our operations.

Main Report

Background

1. The Risk Management Framework of the City of London Corporation requires each Chief Officer to report regularly to Committee the key risks faced in their department. The Audit and Risk Management Committee has requested that such risks should be reported at a Committee level. Summit Group, at its meeting on 23 February 2015, agreed that a risk update report will be presented to "Grand" Committees on a quarterly basis going forward. The report must include any corporate risks and all departmental level risks.

Current Position

2. This report provides an update of the key risks that exist in relation to the operations of the Culture Heritage & Libraries Department. The Department has adopted the Corporate Risk Management Framework for its corporate and departmental risks which are recorded on the corporate Covalent risk management information system (RMIS). This report also outlines the processes adopted for the on-going review of each risk and mitigating actions. A summary of all the risks is attached at Appendix 1.

Risk Management Process

3. The Culture Heritage & Libraries' risks are managed through a hierarchy of three levels these are service risks, departmental risks and corporate risks. As part of the business planning process service level risks are considered, reviewed, recorded and significant risks escalated to the Senior Management Team for consideration and inclusion in the Departmental Risk Register.

4. The departmental risks and corporate risks are recorded on the Corporate Risk Management System, Covalent. Service risks are currently being recorded on individual site spread sheets but the department is in the process of transferring these to Covalent on a phased basis by 31 March 2016.

5. The Town Clerk's department has requested that all H&S Top X risks for all sites are transferred and recorded on the corporate Covalent system with CHL being given an end date of 31 March 2016 for this process. This process will ensure we are compliant with the H&S at Work Act and other statutory requirements, as well as enable efficient and effective management of those risks.

6. Risk owners review the progress of mitigation actions and update the risks that they are responsible for on at least a quarterly basis. The updated register is subsequently reviewed by the Departmental Risk Manager and presented for review and approval to the Head of Service and/or Senior Management Team as appropriate. Risks with high scores are automatically escalated to the next management level (Senior Management Team) in accordance with the Corporate Risk Management Framework.

7. The detailed risk register is included in the business plan presented each year to the Culture Heritage & Libraries Committee.

8. Additionally the department's quarterly business plan progress report includes a section outlining new risks or changes to current risks that might have an impact on the department achieving its strategic aims and objectives.

Identification of New Risks

9. Emerging risks are identified through a number of channels:

    i. Service team meetings
    ii. Directly by the Senior Management Team as part of the departmental review process

iii. In response to regular reviews of delivery of the departmental business plan objectives and Service Based Review (SBR) income targets

iv. Through liaison with City Surveyor's Department Property Facility Managers.

10. The risk register may be refreshed more frequently in response to emerging issues or changing circumstances.

Changes to the Departmental Risk Register since April 2015

11. No risks have been removed from the departmental risk register since the implementation of this year's business plan.

12. The following risk was added to the risk register in Quarter 1:

CHL CVD 001 – City Information Centre temperature control (Green 4)

This risk identifies the continuing problems with the air conditioning/heating system at the City Information Centre and its detrimental effect on staff and international visitors.

City Surveyor's have coordinated work required to be undertaken by the various contractors involved in the management of the heating and cooling system. Works have now been undertaken and their success is being monitored moving the risk rating from Amber to Green.

13. The following risk was added to the risk register in Quarter 3:

CHL KH 001 – Detrimental effects of temperature/humidity fluctuations on the historic building and museum collection at Keats House (Amber 12)

The boilers providing heating at Keats House failed and the temporary solution to heat the space with the use of electric oil filled radiators has been identified as being potentially detrimental to both the fabric of the historic building and the collection contained within it, due to temperature and related humidity fluctuations. This may also adversely our SBR targets.

14. City Surveyor's are working on mitigating the effects with temporary heaters whilst a feasibility study is prepared to set out replacement/repair options. This may include the need to obtain Listed Building consent for alterations to the flue outlets. This risk may be escalated to a RED risk if the temporary measures implemented by City Surveyor's prove not to be effective over the next quarter.

15. **CHL GL 001 - Ongoing water leak problems in the Whittington Room (Amber 12)** on the Lower Ground Floor of the libraries at Guildhall have been addressed by the City Surveyor's Department by the installation of a temporary system to remove any water ingress. This has enabled the reinstatement of the ceiling and continued use of the room with little visible evidence of the water leak. An initial phase of work undertaken by Highways and their contractor did not cure the problem. Further works were completed in October 2015 and have been monitored for effectiveness. To date the works appear to have been

successful with no further leakage being identified during the monitoring period. This risk will be removed in Q4 from the risk register unless further leaks are detected.

16. **CHL PP 001** - The initial teething problems with the **public library WiFi system (Amber 8)** have been resolved. The department continues to work closely with the IT Section of Chamberlain's Department to minimise IT/telephony failures across our services including the library/archive public network and systems at Tower Bridge. Staff have experienced partial/total IT failure since the last report and this risk will remain at AMBER for the present time.

17. **CHL TBM 001** – **The effect of terrorism on the tourism business at Tower Bridge and Monument** remains at AMBER **(Amber 12)**. Measures continue to be taken in liaison with both the City and Metropolitan Police providing advice and training for staff.

18. **CHL GAG 001** – **Partial insurance of collections held within the Art Gallery (Amber 8)** - All actions relating to this risk have been taken and an external audit shows we are in line with national guidance and best practice. This risk will be downgraded to GREEN in Q4.

Summary of Key Risks

19. The Culture Heritage & Libraries Departmental Risk Register includes five AMBER risks and one GREEN risk listed below. The details of these risks are attached at Appendix 1.

Risk Number	Risk Title	Current RAG Status
CHL GL 001	Flooding in lower ground levels high value storage areas at Guildhall Libraries.	AMBER
CHL TBM 001	The effect of terrorism on the tourism business at Tower Bridge and Monument.	AMBER
CHL GAG 001	Partial insurance of collections held within the department's Art Gallery premises.	AMBER
CHL PP 001	Loss of IT at multiple public facing sites across the department.	AMBER
CHL CVD 001	City Information Centre temperature control.	GREEN
CHL KH 001	Detrimental effects of temperature/humidity fluctuations on the historic building and museum collection at Keats House and may affect our SBR targets.	AMBER

Top X H&S Risks

20. The department have undertaken to add Top X Health and Safety risks onto Covalent by 31 March 2016. These will be reported to CHL Committee from April 2016 onwards.

Conclusion

21. Members are asked to note the changes to the departmental risk register and the risk management processes within the Culture Heritage & Libraries Department adhere to the requirements of the City Corporation's Risk Management Framework. Risks identified within the operational and strategic responsibilities of the Department are proactively managed.

Consultees

22. The Chamberlain's Department has been consulted in the preparation of this report.

Appendices

Appendix 1 – Summary CHL Departmental Risk Report

Background Papers:

Culture Heritage & Libraries Department's Business Plan, 2015–2018

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