

Calgary Public Library
Risk Matrix Impact Scales
March 31, 2018

Area		Level of Risk	Insignificant	Low/Minor	Moderate	High/Major	Catastrophic	Mitigation
		Level of Response	None Required	Enhance Monitoring	Change to Policy, Practice or Plan	Change to Operating Model	Change to Strategic Plan	(at December 31, 2017)
1 Relevance	a	Active members/capita [quarterly count]	50% 2017 Q4: 51.0% 2018 Q1: 52.3%	40%	35%	30%	25%	<ul style="list-style-type: none"> Retention of inactive members project initiated Improved communication to patrons, reminding them of all the Library has to offer
	b	Customer Satisfaction [average rating in annual survey]	4.5/5 2016 Dec: 4.8/5 2017 Dec: 4.5/5	4.25/5	4/5	3.5/5	2.5/5	
	c	Community Partner Involvement in Programs [% of in-library programs with partner involvement- quarterly count]	50% or higher	21-35%	11-20% 2017 Q4: 20% 2018 Q1: 19%	1-10%	0%	<ul style="list-style-type: none"> Develop successful relationships as a means to create opportunities to partner with others (i.e., Partnership with CBE is creating opportunities to partner with SAIT and CCSD Executive leadership energy directed to building and fostering new strategic partnerships
	d	Service Innovation - # of active projects that Service Design is working on to transform library services and ensure the Library remains relevant to our users [quarterly count]	35-50		51-65 or 20-34 2017 Q4: 58 2018 Q1: 54		over 65 or under 20	<ul style="list-style-type: none"> In considering the range for each area of the risk register, it is important to consider both the risk of too few projects (which means we are not utilizing our full capacity to explore and complete innovations that will both transform library services and ensure we remain relevant) and too many projects (which means we may not have the capacity to successfully complete the work and achieve the Library's standards for quality).
	e	Availability of Volunteers [% of need filled] [quarterly count]	100% or more	80% to 99% 2017 Q4: 97.0% 2018 Q1: 97.0%	60% to 79%	50% to 59%	Less than 50%	<ul style="list-style-type: none">
2 Finance	a	Fraud [quarterly report]	No instance of fraud 2017 Q4: No instances to date 2018 Q1: No instances to date	Cumulative fraud of less than \$25k annually	Cumulative fraud of \$25k to \$50k annually	Cumulative fraud of more than \$50k annually	Cumulative fraud of more than \$1 million annually	<ul style="list-style-type: none"> Adherence to policies / procedure Well document procedures, including: <ul style="list-style-type: none"> Segregation of duties Purchasing controls Approvals by supervisor (one up) External auditors
	b	Budgeted Operating Funding [annual board approval]	Equal to prior year's funding 2016: Increase of \$1,143,000 2017: Increase of \$2,748,000 2018: Increase of \$4,719,000	1 to 2% less than prior year	2 to 4% less than prior year	5 to 10% less than prior year	More than 10% less than prior year	<ul style="list-style-type: none"> Transparency and openness with government and other funders Effective, efficient delivery of current services and programs Ongoing dialogue with funders

Area		Level of Risk	Insignificant	Low/Minor	Moderate	High/Major	Catastrophic	Mitigation
		Level of Response	None Required	Enhance Monitoring	Change to Policy, Practice or Plan	Change to Operating Model	Change to Strategic Plan	(at December 31, 2017)
	c	Allocation of resources [annual report]	Adherence to Asset Management Plan (AMP)	Adherence to AMP with minor timing differences 2017: Capital spending continues to adhere to the Asset Management Plan with minor timing differences 2018: Capital spending continues to adhere to the Asset Management Plan with minor timing differences	Actual costs related to AMP 10% less than budgeted	Actual costs related to AMP from 11% to 20% less than budgeted	Facilities are structurally unsafe – one or more cannot be remediated by asset management plan reserves	<ul style="list-style-type: none">Monthly oversight by the Library’s Senior Management TeamQuarterly oversight by the Library’s Audit & Finance Committee
	d	Forecast Operating Expenditures exceed known sources of funding (including unrestricted reserves) by [quarterly report]	0% 2018 Q1: Operating forecast at the end of quarter 1 is \$21,000. Forecast expenditures do not exceed known sources of funding	2% 2017 Q3: Expenditures 0.03% unfavorable, due to timing differences and additional funding 2017 Q4: Expenditures 2.12% unfavorable, due to timing differences and additional funding	3%	5%	10%	<ul style="list-style-type: none">New forecast measure used starting Quarter 1, 2018Daily oversight through purchasing and payment controls, including one up approvalsMonthly oversight by the Library’s Senior Management TeamQuarterly oversight by the Library’s Audit & Finance Committee
	e	Capital expenditures exceed budgeted revenues/reserves by [quarterly report]	0% 2017 Q4: Capital expenditures less than sources of funding 2018 Q1: Capital expenditures less than sources of funding	5%	10%	20%	50%	<ul style="list-style-type: none">Daily oversight through purchasing and payment controls, including one up approvalsMonthly oversight by the Library’s Senior Management TeamQuarterly oversight by the Library’s Audit & Finance Committee
3 Operations	a	Building visits [quarterly report of year-over-year change]	Less than 5% decrease 2017 Q1: No change from 2016 Q1 2018 Q1: decrease of 1% over 2017 Q1	6-10% decrease	11-20% decrease	21-50% decrease	Over 50% decrease	<ul style="list-style-type: none">
	b	Website and catalogue sessions combined [quarterly report of year-over-year change]	Less than 5% decrease 2017 Q1: Increase of 5% over 2016 Q1 2018 Q1: decrease of 3% over 2017 Q1	6-10% decrease	11-20% decrease	21-50% decrease	Over 50% decrease	
	c	Facility availability [quarterly count]	All facilities open during all regular open hours in period 2018 Q1: 0 instances of closures of one day or less	Any closure for up to 1 open day in one or more locations	Any closure for up to 1 week in one or more locations 2017 Q4: 1 instance of closures of one up to one week, plus 3 instances of closures of 1 day or less	Any closure in one or more locations lasting more than one week	Any closure in one or more locations, with the result that strategic deliverables are no longer achievable	



Area		Level of Risk	Insignificant	Low/Minor	Moderate	High/Major	Catastrophic	Mitigation
		Level of Response	None Required	Enhance Monitoring	Change to Policy, Practice or Plan	Change to Operating Model	Change to Strategic Plan	(at December 31, 2017)
	d	Relationships with partners in joint facilities [quarterly report]	Operating Styles of Partners diminish the synergies of co-location 2017 Q4: No instances 2018 Q1: No instances	Values and goals of Partners become incompatible with those of the Library	Actions of Partners impede the ability to effectively operate the Facility jointly	Actions of Partners prevent the Library from delivering at least some normal programs and/or services	Actions of Partners cause the Facility to become unusable or unavailable	<ul style="list-style-type: none"> Joint Operating Committees are in place at multi-use sites to prevent issues from escalating Regular meetings initiated between Project Engineer at Calgary Transit (Nicholls Family Library), and the Library's Service Delivery Manager. Requesting two weeks advance notice from partners for planned closures of the facility.
	e	Collection meeting community needs [physical collection - turnover rate/year]	Turnover rate of 8 to 10 2016: 8.7 2017: 8.5	Turnover rate of 6 to 8	Turnover rate of 4 to 6	Turnover rate of 2 to 4 or 11-13	Turnover rate of less than 2 or greater than 14 (lower than 2 means collections are on the shelf 46 weeks per year/ higher than 14 means the shelves means the shelves are bare – collection is checked out 42 weeks of the year)	<ul style="list-style-type: none"> Collection purchases are made in response to member preferences, monitoring use of existing collection, and in response to market place trends
	f	Staff engagement level [Overall score on annual survey]	More than 80%	Less than 80% 2016 May: 75% 2017 October: 78%	Less than 70%	Less than 60%	Less than 50%	<ul style="list-style-type: none"> Online and paper-based communication tools are used to distribute information, in addition to frequent face-to-face meetings Sampling of the workforce takes place at regular intervals and issues raised are dealt with at that time. An online suggestion system allows staff to suggest change whenever it occurs to them
4 New Central Library	a	Construction & Commission [Reputational risk is present for the Library if the project is delayed or over budget. This measure is taken based on the CMLC Risk Register presented at NCL Steering Committee Meetings]	Minor delay in thresholds and/or project on budget 2017 Q4: No emerging issues 2018 Q1: No emerging issues	Minor delay in thresholds and/or project 1 to 2% over budget	Minor delay in thresholds and/or project 2 to 4% over budget	Significant delay in thresholds and/or project 5 to 10% over budget	Significant delay in thresholds and /or project more than 10% over budget	<ul style="list-style-type: none"> The Library is an active participant in monthly steering committee meetings where construction & commissioning progress is discussed
	b	Operational Readiness [% of task on the NCL Project Transition Plan overdue]	0-10% 2017 Q4: 0.0% 2018 Q1: 0.4%	Greater than 10 – 20%	Greater than 20 – 40%	Greater than 40 – 60%	Greater than 60 – 100%	<ul style="list-style-type: none"> Move planning consultant in place Internal readiness committee initiated with representatives from CMLC and the City of Calgary Library cross-departmental transition plan has been developed, and key move-in tasks have been shared with CMLC and COC

Area		Level of Risk	Insignificant	Low/Minor	Moderate	High/Major	Catastrophic	Mitigation
		Level of Response	None Required	Enhance Monitoring	Change to Policy, Practice or Plan	Change to Operating Model	Change to Strategic Plan	(at December 31, 2017)
	c	Delivery of service/programs in the NCL [% of services/ programs within the Priority 1 Plan for Innovation that are being piloted or launched prior to opening of the NCL]	55-100% 2017 Q4: 55% 2018 Q1: 63%	50-54%	30-49%	20-29%	0-19%	<ul style="list-style-type: none">NCL Plan for Innovation updated monthlyImplementation Plan updated regularlyTrialing innovative projects, such as the Create Lab, Campus CalgaryCollaborative Work TeamsJoint Service Design and Service Delivery project management teamsBiweekly check-ins on project statusRegular service design updates to the transition team to flag issues and ensure alignment
5 Security	a	Incidents at Community Libraries [quarterly count of number of instances per 10,000 visits]	0 - 0.5 incidents / 10,000 visits	0.51-1.5 incidents/10,000 visits 2017 Q1: 0.98 2017 Q2: 0.52 2017 Q3: 0.59 2017 Q4: 0.63 2018 Q1: 0.77	1.51-4 incidents/10,000 visits	Greater than 4.01 incidents/10,000 visits	Incidents are of such a nature and number that strategic deliverables are no longer achievable	<ul style="list-style-type: none">Focused staff training on <i>Safety and Security and Working with Vulnerable Populations</i>Revised and updated <i>Problem Situation Guide</i> and <i>Emergency Response Plan</i>New industry standard incident reporting software being implementedStricter application of the Library's <i>Code of Conduct</i>
	b	Incidents at Central Library [quarterly count of number of instances per 10,000 visits]	0-0.5 incidents/10,000 visits	0.51-1.5 incidents/10,000 visits	1.51-4 incidents/10,000 visits 2017 Q2: 2.93 2017 Q3: 1.99 2017 Q4: 3.23 2018 Q1: 3.14	Greater than 4.01 incidents/10,000 visits 2017 Q1: 6.20	Incidents are of such a nature and number that strategic deliverables are no longer achievable	<ul style="list-style-type: none">Employment of a City of Calgary Security Advisor, whose sole focus is the Library systemDeveloping closer relationships with Calgary Police Service and other law enforcement agenciesExtensive work implementing Crime Prevention through Environmental Design elements, many of which were recommended by CPSImprovements to performance of security contractor, including more effective deployment of guards in multiple locationsConcentrated efforts to bring new and diverse demographics to Central Library through extensive programming and community eventsNaloxone training complete and intranasal doses are available to security personnelSafety and security professional learning sessions delivered for staffSafety and security and active assailant procedures added to emergency response plan, presented to managers, and now being rolled out to staff meetings across the system