

Calgary Public Library
Risk Matrix Impact Scales
March 31, 2017
Attachment 1

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 Sept. 30, 2016)	
1 Strategy	a	Active members/capita [quarterly count]	50%		40% 2016 Q4: 46.5% 2017 Q1: 48.0%		35%		30%		25%	- 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		4.25/5 2015 Dec: 4.4/5		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% 2016 Q4: 19% 2017 Q1: 20%		1-10%		0%	- 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	
	a	Fraud [quarterly report]	No instance of fraud 2016 Q4: No instances to date 2017 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	- Adherence to policies / procedure - Well document procedures, including: - Segregation of duties - Purchasing controls - Approvals by supervisor (one up) - External auditors	
2 Finance	b	Budgeted Operating Funding [annual report]	Equal to prior year's funding 2016: Increase of \$1,143,000 2017 : Increase of \$2,748,000		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	- Transparency and openness with government and other funders - Effective, efficient delivery of current services and programs - Ongoing dialogue with funders	
	c	Allocation of resources [annual report]	Adherence to Asset Management Plan (AMP)		Adherence to AMP with minor timing differences 2016: Capital spending matched to 4 year capital spending plan with minor timing differences 2017: 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	- Monthly oversight by the Library's Senior Management Team - Quarterly oversight by the Library's Audit & Finance Committee	
	d	Operating expenditures exceed budget by [quarterly report]	0%		2% 2016 Q4: Expenditures 0.7% unfavorable, but funding provided by the SPF balances per 2016 budget 2017 Q1: Expenditures 0.73% unfavorable, due to timing differences		3%		5%		10%	- Daily oversight through purchasing and payment controls, including one up approvals - Monthly oversight by the Library's Senior Management Team - Quarterly oversight by the Library's Audit & Finance Committee	

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3 People	e Capital expenditures exceed budgeted revenues/reserves by [quarterly report]	0% 2016 Q4: Capital expenditures less than sources of funding 2017 Q1: Capital expenditures less than sources of funding	5% 	10% 	20% 	50% 	- Daily oversight through purchasing and payment controls, including one up approvals - Monthly oversight by the Library’s Senior Management Team - Quarterly oversight by the Library’s Audit & Finance Committee
	a Reputation impacts [Negative publicity from staff or volunteer activity] [quarterly]	None 2016 Q4: None 2017 Q1: None	Any public incident from any staff level or volunteer	Multiple incidents from any staff level, volunteer, or misconduct from a Director-level staff	Misconduct that results in a withdrawal of funding or funding commitment in any amount	Misconduct that results in involuntary dismissal of Director-level staff or higher	- Policy and Employee Code of Conduct make clear who can speak on behalf of the Library - Social media activity regardless of when it takes place is also subject to Employee Code of Conduct
	b Staff engagement level [Overall score on annual survey]	More than 80% 	Less than 80% 2016 May: 75%	Less than 70% 2014 Nov: 68%	Less than 60% 	Less than 50% 	- 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. Next engagement is scheduled for Oct. 2017 - An online suggestion system allows staff to suggest change whenever it occurs to them
	c General vacancy rate [% of all positions unintentionally vacant] [quarterly count]	Less than 4% 2016 Q4: 0.8% 2017 Q1: 0.0%	More than 4% 	More than 7% 	More than 10% 	More than 15% 	Market conditions are regularly monitored to keep library jobs competitive with the overall Calgary market
	d Recruitment time for positions with critical skills [quarterly count]	Less than 12 weeks 2016 Q4: None 2017 Q1: None	More than 12 weeks 	More than 16 weeks 2016 Q1: 1 instance	More than 26 weeks 	More than 52 weeks 	- CPL is well represented at industry conferences to ensure that good candidates are aware of CPL achievement - Effectiveness of different recruiting channels is regularly reviewed, eg. LinkedIn
4 Operations	e Availability of Volunteers [% of need filled] [quarterly count]	100% or more 	80% to 99% 2016 Q4: 97.5% 2017 Q1: 92.0%	60% to 79% 	50% to 59% 	Less than 50% 	
	a Building visits [quarterly report of year-over-year change]	Less than 5% decrease 2016 Q1: Increase of 17% over 2015 Q1 2017 Q1: No change from 2016 Q1	6-10% decrease 	11-20% decrease 	21-50% decrease 	Over 50% decrease 	
	b Website and catalogue sessions combined [quarterly report of year-over-year change]	Less than 5% decrease 2016 Q4: Decrease of 2% from 2015 Q4 2017 Q1: Increase of 5% over 2016 Q1	6-10% decrease 	11-20% decrease 	21-50% decrease 	Over 50% decrease 	

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5 New Central Library	c	All facilities open during all regular open hours in period 2016 Q4: No closures 2017 Q1: No closures	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	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	
	d	Operating Styles of Partners diminish the synergies of co-location 2016 Q4: No instances 2017 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	Joint Operating Committees are in place at multi-use sites to prevent issues from escalating
	a	Minor delay in thresholds and/or project on budget 2016 Q4: No emerging issues 2017 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	
	b	No issues in transition to operation	Usage of NCL greater than that of current Central Library	Usage of NCL equal to that of current Central Library	Usage of NCL less than that of current Central Library	Usage of NCL is 50% less than that of current Central Library	- Trialing innovative projects, such as the Fire Truck, prior to opening - NCL service plan substantially complete Internal readiness committee initiated with representatives from CMLC and the City of Calgary
6 Security	a	The number of incidents remains stable or decreases	Increase in incidents up to 5%	Increase in incidents 6% to 25%	Increase in incidents more than 25% 2016 Q1: Increase of 75% over 2015 Q1 2017 Q1: Increase of 41% over 2016 Q1	Incidents are of such a nature and number that strategic deliverables are no longer achievable	- Focused staff training on <i>Safety and Security</i> and <i>Working with Vulnerable Populations</i> - Revised and updated <i>Problem Situation Guide</i> and <i>Emergency Response Plan</i> - New industry standard incident reporting

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		The number of incidents remains stable or decreases 2016 Q4: Decrease of 12% over	Increase in incidents up to 5%	Increase in incidents 6% to 25% 2017 Q1: Increase of 8% over 2016 Q1	Increase in incidents more than 25% 2016 Q1: Increase of 65% over 2015 Q1	Incidents are of such a nature and number that strategic deliverables are no longer achievable	- software being implemented - Stricter application of the Library's Code of Conduct - Employment of a City of Calgary Security Advisor, whose sole focus is the Library system - Developing closer relationships with Calgary Police Service and other law enforcement agencies - Extensive work implementing Crime Prevention through Environmental Design elements, many of which were recommended by CPS - Improvements to performance of security contractor, including more effective deployment of guards in multiple locations - Concentrated efforts to bring new and diverse demographics to Central Library through extensive programming and community events - Specifically in response to the upward trend at community libraries: - Community engagement in the Beltline to explore, identify and implement new programs and features at Memorial Park Library to promote pro-social activities in the Library - Bannings are now communicated to shared facilities, at which point facility wide bannings are then put in place - Increased guard deployment at Nicholls Family Library - Locked bathrooms at both Nicholls Family Library and Memorial Park Library - Security guards from Central now cover shifts at community library locations, helping to identify banned persons before they enter the library - The Library is collaborating with stakeholders around Westbrook Mall to develop joint security strategies. - CCTV camera is live on the front door of Central (monitored by City and CPS) - The Library is developing relationships with the CPS Aboriginal Liaison Officer - All Library guards are participating in Aboriginal Awareness training offered by Garda
	Incidents at Central Library [quarterly report of year-over-year count]						