| **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 Dec 31, 2016)** |
| **1**  **Strategy** | a | Active members/capita  [quarterly count] | 50% | | 40%  2016 Q1: 40.5%  2016 Q2: 41.7%  2016 Q3: 43.1%  2016 Q4: 46.5% | | 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%  2016 Q2: 21% | | 11-20%  2016 Q1: 12%  2016 Q3: 19%  2016 Q4: 19% | | 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   Note:  In Q4, the measurement grew to include partnerships in outreach events. Previous data was reevaluated for consistency. |
| **2**  **Finance** | a | Fraud  [quarterly report] | No instance of fraud  2016 Q1: No instances to date  2016 Q2: No instances to date  2016 Q3: No instances to date  2016 Q4: 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 |
| b | Budgeted Operating Funding  [annual report] | Equal to prior year’s funding  2015: Increase of $1,913,000  2016: Increase of $1,143,000 | | 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  2015: Capital spending matched to 4 year capital spending plan with minor timing differences  2016: 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%  2016 Q2: Expenditures 0.7% favourable due to timing differences  2016 Q3: Expenditures 0.3% unfavourable due to unbudgeted salary costs  2016 Q4: Expenditures 0.7% unfavorable, but funding provided by the SPF balances per 2016 budget | | 2% | | 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 |
| e | Capital expenditures exceed budgeted revenues/reserves by  [quarterly report] | 0%  2016 Q2: Capital expenditures less than sources of funding 2016 Q3: Capital expenditures less than sources of funding  2016 Q4: 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 |
| **3**  **People** | a | Reputation impacts  [Negative publicity from staff or volunteer activity]  [quarterly] | None  2016 Q1: None  2016 Q2: None  2016 Q3: None  2016 Q4: 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 * 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 Q1: 1.4%  2016 Q2: 0%  2016 Q3: 0.1%  2016 Q4: 0.8% | | 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 Q2: None  2016 Q3: None  2016 Q4: 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 |
| e | Availability of Volunteers  [% of need filled]  [quarterly count] | 100% or more | | 80% to 99%  2016 Q1: 97%  2016 Q2: 97%  2016 Q3: 95%  2016 Q4: 97.5% | | 60% to 79% | | 50% to 59% | | Less than 50% |  |
| **4**  **Operations** | a | Building visits  [quarterly report of year-over-year change] | Less than 5% decrease  2016 Q1: Increase of 17%  over 2015 Q1  2016 Q2: Increase of 8%  over 2015 Q2  2016 Q3: no change  from 2015 Q3  2016 Q4: Decrease of 1%  from 2015 Q4 | | 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 Q2: Increase of 2%  over 2015 Q2  2016 Q3: increase of 1%  over 2015 Q3  2016 Q4: Decrease of 2%  from 2015 Q4 | | 6-10% decrease | | 11-20% decrease  2016 Q1: Decrease of 19%  over 2015 Q1 | | 21-50% decrease | | Over 50% decrease |  |
| c | Facility availability  [quarterly count] | All facilities open during all regular open hours in period  2016 Q1: No closures  2016 Q3: No closures  2016 Q4: 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  2016 Q2: Glenmore Square and Shaganappi were each closed for 2 weeks as services were relocated to new facilities | | Any closure in one or more locations, with the result that strategic deliverables are no longer achievable |  |
| d | Relationships with partners in joint facilities  [quarterly report] | Operating Styles of Partners diminish the synergies of co-location  2016 Q1: No instances  2016 Q2: No instances  2016 Q3: No instances  2016 Q4: 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 |
| **5**  **New Central Library** | a | Reputation maintained during the construction of the New Central Library [quarterly report] | Minor delay in thresholds and/or project on budget  2016 Q1: No emerging issues  2016 Q2: No emerging issues  2016 Q3: No emerging issues  2016 Q4: 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 | Transition in service  [Not applicable at present] | 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 |
| **6**  **Security** | a | Incidents at Community Libraries [quarterly report of year-over-year count] | 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  2016 Q2: Increase of 26%  over 2015 Q2  2016 Q3: Increase of 26%  over 2015 Q3  2016 Q4: Increase of 29%  over 2015 Q4 | | Incidents are of such a nature and number that strategic deliverables are no longer achievable | * Focused staff training on *Safety and Security* and *Working with Vulnerable Populations* * Revised and updated *Problem Situation Guide* and *Emergency Response Plan* * New industry standard incident reporting 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 |
| b | Incidents at Central Library  [quarterly report of year-over-year count] | The number of incidents remains stable or decreases  2016 Q4: Decrease of 12% over 2015 Q4 | Increase in incidents up to 5% | | Increase in incidents 6% to 25% | | Increase in incidents more than 25%  2016 Q1: Increase of 65%  over 2015 Q1  2016 Q2: Increase of 46%  over 2015 Q2  2016 Q3: Increase of 35%  over 2015 Q3 | | Incidents are of such a nature and number that strategic deliverables are no longer achievable | |