| **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] | 4.5/52016 Dec: 4.8/5 | 4.25/52015 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 date2016 Q2: No instances to date2016 Q3: No instances to date2016 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 funding2015: Increase of $1,913,0002016: 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 differences2015: Capital spending matched to 4 year capital spending plan with minor timing differences2016: 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 costs2016 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 funding2016 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] | None2016 Q1: None2016 Q2: None2016 Q3: None2016 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 weeks2016 Q2: None2016 Q3: None2016 Q4: None | More than 12 weeks | More than 16 weeks2016 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% decrease2016 Q1: Increase of 17% over 2015 Q12016 Q2: Increase of 8% over 2015 Q22016 Q3: no change from 2015 Q32016 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% decrease2016 Q2: Increase of 2% over 2015 Q22016 Q3: increase of 1% over 2015 Q32016 Q4: Decrease of 2%from 2015 Q4 | 6-10% decrease | 11-20% decrease2016 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 period2016 Q1: No closures2016 Q3: No closures2016 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 week2016 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-location2016 Q1: No instances2016 Q2: No instances2016 Q3: No instances2016 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 budget2016 Q1: No emerging issues2016 Q2: No emerging issues2016 Q3: No emerging issues2016 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 Q12016 Q2: Increase of 26% over 2015 Q22016 Q3: Increase of 26% over 2015 Q32016 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 decreases2016 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 Q12016 Q2: Increase of 46% over 2015 Q22016 Q3: Increase of 35% over 2015 Q3 | Incidents are of such a nature and number that strategic deliverables are no longer achievable |