

Appendix K

Objective:

Risk Assessment and mitigation

Risk	Initial Assessment*		PRIORITY (Impact multiplied by Probability)	Mitigating Actions	Revised Assessment		PRIORITY (Impact multiplied by Probability)	Status
	Likelihood	Impact			Likelihood	Impact		

Programme Risks

Library Service-wide technical failure prevents TEO from being deployed across the network within agreed timescales	4	5	20	Review contractual arrangements to understand level of service commitments and escalation points; Review and test resilience and business continuity plans by undertaking scenario testing; Review infrastructure resilience, Business Continuity plans, escalation points and contacts and undertake remedial works as identified with contracted partners	2	5	10	Open
Insurance premiums could be increased to reflect latest TEO proposals	3	3	9	Insurers have visited Edgware Library to see first-hand how the existing system operates in Edgware, and to hear about future proposed changes. Having demonstrated the robustness of our proposals, our insurers have written to confirm that there will be no increase in premiums	1	1	1	Open
Legal challenge delays implementation phase	4	4	16	Develop transparent decision-making process and ensure that we are able to demonstrate consideration of all the options.	5	4	20	Open
TEO provider procurement takes longer than anticipated	3	4	12	Work with Procurement colleagues to understand procurement process and the maturity of the market;	3	4	12	Open
Delayed establishment of the Corporate Landlord Model	3	3	9	Agree contingency plan for transfer of assets into property services without corporate landlord model	3	3	9	Closed
Abnormal building costs emerge on site leading to increased return of investment period	4	4	16	Early site visits by Estates/IS teams, including engagement with architects; early contact with planning committee and English Heritage; full site-by-site cost estimates	4	4	16	Open
Buildings cannot be adapted within agreed budget, leaving spaces unviable for library operation or undesirable for potential tenants	3	3	9	Understand requirements of the Library Service (combination of desktop and site-by-site visits), and consider how the requirements can be merged with the need to maximise commercial space; initial site-by-site plans developed, which give consideration to construction work, IT modifications, internal fit-out, furniture, etc.); Estimated costs on site-by-site basis	3	3	9	Open

The market does not bear income estimate for lettable spaces	3	5	15	Estimates based on low-yielding "D1" use which means there is scope for potential uplift in rental income; development of Corporate Landlord strategy; configuring the building works to maximise commercial income; confirmation from Estates that original assumptions can be validated. The CELS proposal is also recommending that commercial income be separated from the library service savings targets resulting in the lack of commercial income not directly impacting on the library service	3	1	3	Open
Building works take longer than expected leading to longer than anticipated library closures	5	3	15	Site-by-site plans overlayed into a Phased Building Work structure; resource to oversee building works and act as clerk-of-works to monitor progress and report back;	5	3	15	Open
Insufficient interest in operating Partnership libraries	3	4	12	Quality of Service Specification for our external partners; annual grant provision; ongoing support package from the Library Service. If there is insufficient interest from organisations coming forward to run Partnership libraries then the decision will be referred back to CELS.	3	4	12	Open
£25k annual grant is insufficient to maintain Partnership libraries	3	4	12	Proposal being put forward to CELS Committee to provide a slightly larger Partnership Library grant available in year 1 (£35k) and 2 (£28k) with £25k provided annually thereafter. Furthermore, an interest-free transition loan will be offered to help community groups establish themselves as legal entities.	2	3	6	Open
Use of the Library Service by under 16s falls significantly	3	4	12	Emphasise that children are still able to access Open+ when accompanied by an adult/carer; Working with umbrella organisations; Continuing activities during staffed hours; Work with schools and parents to inform and raise awareness of parameters (e.g. school-based events); Propose to extend accessibility by allowing all Year 11 students access to TEO-equipped libraries, so long as students are able to demonstrate they have written permission from an adult, and their school is able to verify they are a Year 11 student;	2	2	4	Open

Technology-enabled opening risks

Concern caused to users by individuals loitering around entrances to some library buildings	2	3	6	If Live CCTV monitoring is introduced, an individual loitering near the entrance would be picked up as a trigger to alert the operator. If necessary the CCTV operator could send issue an "audible alert" to move on, or despatch a roving security. If CCTV monitor was given additional cause for concern, the police could be alerted to investigate.	1	3	3	Open
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Need to demonstrate that if a serious incident occurs, the emergency services would be able to access a Core and Core Plus library	4	5	20	Proposed enhancements to existing safety and security arrangements by: introducing live CCTV monitoring to support 'event' recording; Confirmation from prospective providers that they are able to automate access for emergency services via control centre; Ability for live CCTV monitors to send messages to send warning (or reassurance) messages to individual library users, depending on circumstances; ability for live CCTV monitors to despatch roving security. The metropolitan police have visited Edgware Library to see first-hand how the existing system operates, and to hear about future proposed changes. Invites also extended to London Fire Brigade and London Ambulance Service.	2	5	10	Open
Inadequate detail or coverage captured by CCTV cameras	2	2	4	Camera locations to be reviewed by TEO provider and taken into consideration by CCTV provider when considering pilot of live CCTV. Look to secure 97-99% coverage of all unstaffed areas. Under current provision, the library is patrolled on an hourly basis by an on-site security guard who covers both inside and outside the facility	1	2	2	Open
Live-CCTV failure at one or more libraries	2	4	8	Live CCTV will be installed at all TEO sites and its operation will be a requirement of opening. In the event that live CCTV monitoring is not operational at any time, opening will be maintained through the deployment of a security staff individual, which costs approximately £15 per hour.	2	2	4	Open
Individuals may inadvertently tailgate another TEO user without realising the library is unstaffed	3	2	6	Readily identifiable staff will be made available during the first three months following the introduction of TEO to provide support and guidance, as well as to remind users of the terms and conditions (where appropriate); Clear signage; Introduction of regular announcements to remind people that they are in a technology-enabled library during unstaffed periods. Signage to be added to design of library sites (interiors) along with emergency phone, etc.	1	2	2	Open
A user may follow another user into the library during unstaffed hours with the intent to do harm	3	4	12	User education; On-site security including card and PIN registration; Live CCTV and 'event' recording in publicly accessible areas in TEO libraries which will be monitored in real time; Audible link to enable CCTV centre to communicate with library users; CCTV centre to alert emergency services if required; CCTV operator able to control individual cameras to monitor incidents or track behaviour; CCTV operator able to mobilise roving security to respond to any incident with the aim of a response time of 30 minutes; Retains CCTV evidence for an agreed period; Emergency telephone and numbers.	3	3	9	Open

A user may follow another user into the library during unstaffed hours with no intent to do harm	3	1		User education; On-site security including card and PIN registration; Live CCTV and 'event' recording in publicly accessible areas in TEO libraries which will be monitored in real time; Audible link to enable CCTV centre to communicate with library users; CCTV operator able to control individual cameras to monitor incidents or track behaviour; CCTV operator able to mobilise roving security to respond to any incident with the aim of a response time of 30 minutes; Retains CCTV evidence for an agreed period; Emergency telephone and numbers.	3	1	3	Open
Vulnerable adults lack confidence in using TEO and are reluctant to use the sites during the unstaffed periods	3	4		Volunteer-supported sessions planned to take place; Work with umbrella organisations to build confidence and familiarity; Identify further mitigation actions through liaison with other Open+ authorities and specialist organisations for vulnerable groups; Consider dedicated drop-in sessions;	2	2	4	Open
Technical failure results in customers being unable to gain access during TEO hours	3	4		During the pilot, there have been three incidences of technical failure which resulted in the service being unavailable. At Edgware, building security measures in place to open and close exterior perimeter gate during pilot. In the unlikely event of a future whole system data failure, the contingency would include maintaining a core library service at Core and Core Plus libraries through the deployment of additional staff at an estimated cost of £75k per month. The core library service would operate from 9 to 5 over six days at Core Plus libraries and five days at Core libraries	1	2	2	Open
Public opposition to TEO leads to poor usage	3	4		Publicity developed; Readily-identifiable staff will be on-hand during the first three months to provide support and guidance whilst users become familiar with the new technology; Security features to be emphasised. 1115 registered users by 31st January 2016 with over 3800 entries since Pilot roll out on 29th June 2015	3	3	9	Open
Customers are unable to collect reserved items during unstaffed periods	1	2		Collection of reservations still possible during normal staffed hours. New method of collection introduced during unstaffed opening period with no problems reported. Will continue to monitor during pilot period.	1	2	2	Open
Customers are unable to join the library during unstaffed periods	1	2		Advertise the staffed hours in libraries located nearby so customers are aware of where/when they could obtain a library card.	1	2	2	Open
Some customers are unable to complete transactions due to lack of staff assistance	4	3		Printed user guides to be provided and FAQ's Response service provided whereby customers leave questions for staff to respond during staffed periods. Feedback forms been available throughout the pilot. Volunteer-supported opening will provide additional opportunity for unfamiliar users to receive support and guidance	3	2	6	Open

Some customers are unable to access required resources/resolve enquires due to lack of on-site assistance	4	3	12	Printed user guides to be provided and FAQ's Response service provided whereby customers leave questions for staff to respond during staffed periods. Feedback forms been available throughout the pilot. Readily-identifiable staff will be on-hand during the first three months to provide support and guidance whilst users become familiar with the new technology; Volunteer-supported opening will provide additional opportunity for unfamiliar users to receive support and guidance	3	2	6	Open
Unregistered TEO user takes the card of a registered TEO user to enter the library during unstaffed periods	2	4	8	Use of PIN system in addition to need for physical card; Live CCTV monitoring; User education	2	3	6	Open
Financial security is compromised during unstaffed periods	3	3	9	All cash held in locked safes in locked staff areas; Cash collections take place weekly; Live CCTV monitoring and CCTV 'event' recording systems	1	3	3	Open
Security of customer and staff data is compromised	2	4	8	All data secured in locked areas when staffed period ceases; live CCTV monitoring and CCTV 'event' recording systems	1	4	4	Open
Staff areas are accessed during unstaffed periods	3	3	9	Staff areas are locked during TEO; Live CCTV monitoring and CCTV 'event' recording systems	1	2	2	Open
Items/assets are stolen during unstaffed periods	3	3	9	User education; Live CCTV monitoring; integrated security gates linked to CCTV with 'event' monitoring (linked to assets and valuable items); emergency telephone and numbers; feedback cards). No incidences of security gate alarms being triggered during TEO pilot at Edgware.	2	3	6	Open
Library is vandalised during unstaffed periods	3	3	9	User education; Live CCTV monitoring; Live CCTV camera operators able to send audible messages direct to users of library via integrated speaker network; ability for CCTV operators to despatch roving security; CCTV 'event' recording; emergency telephone and numbers; feedback cards);	2	3	6	Open
A customer is reported to be accessing inappropriate material via a library PC	3	2	6	Current safeguards in place to restrict access to inappropriate material; live CCTV monitoring; CCTV with 'event' monitoring; Card and PIN access for PC access (including for Wi-Fi); emergency telephone and numbers;	3	2	6	Open
Evacuation procedures are not followed during unstaffed periods if there is an incident that requires the building to be evacuated.	3	5	15	Live CCTV monitoring; User education; Regular fire-drill tests; On-site security provision including fire alarm systems, fire evacuation signs, emergency lighting, automatic door release systems, fire extinguishers, emergency numbers and phone available; visual/audible alarm; updated building works to bring into DDA compliance	3	5	15	Open
Building fault or maintenance issue renders the library or part of the library unsafe	3	5	15	User education; some parts of library building out of bounds to the public during TEO hours, including toilets, upper floors (including mezzanine areas) and some meeting rooms; Emergency numbers and phone; Feedback cards available	3	2	6	Open
Customer has an accident during a non-staffed period	3	5	15	Live CCTV monitoring; Live CCTV camera operators able to send messages direct to users of library via integrated speaker network, providing reassurance to ill or injured patrons; ability for CCTV monitor to alert the emergency services (if needed) or despatch roving security; User education; Emergency numbers displayed and phone available;	1	5	5	Open

Some customers fail to leave the building at the time of its closure	3	2	6	Live CCTV monitoring; Live CCTV camera operators commissioned to undertake final check of building before final closure; Additional building Security for opening and closing building perimeter at Edgware and (possibly) East Finchley; Security call-out when building intruder alarms have been triggered via integrated motion sensors;	1	1	1	Open
Disputes occur between customers during non-staffed periods	3	3	9	User education; Provision of live CCTV monitoring and 'event' recording; Ability for live monitors to send messages direct to users of library by integrated speaker network; ability for CCTV monitor to alert the emergency services (if needed) or despatch roving security; emergency telephone; Feedback cards	2	3	6	Open
Pilot fails to gather informative data	3	4	12	Communications plan to be developed to generate interest. Pilot may need to be extended if insufficient data is gathered. Pilot extended in October 2015	2	3	6	Closed
Safeguarding of vulnerable adults is compromised	4	5	20	CCTV coverage in publicly accessible areas in TEO libraries; CCTV monitored in real time; Audible link to enable CCTV centre to communicate with library users; CCTV centre to alert emergency services if required; CCTV operator able to control individual cameras to monitor incidents or track behaviour; CCTV operator able to mobilise roving security to respond to any incident with the aim of a response time of 30 minutes; Retained CCTV evidence for an agreed period; User education including easy-read versions of user education materials and consent forms; Emergency telephone and feedback cards; Certain areas in some library buildings restricted during TEO hours (e.g. upper floors, including mezzanine areas; toilets; some meeting rooms); Building security for opening and closing building perimeter where required	2	5	10	Open
Safeguarding of children is compromised	4	5	20	Access restrictions - parental consent for 16-17yr olds; No unaccompanied children; CCTV coverage in publicly accessible areas in TEO libraries; CCTV monitored in real time; Audible link to enable CCTV centre to communicate with library users; CCTV centre to alert emergency services if required; CCTV operator able to control individual cameras to monitor incidents or track behaviour; CCTV operator able to mobilise roving security to respond to any incident with the aim of a response time of 30 minutes; Retained CCTV evidence for an agreed period; User education including easy-read versions of user education materials and consent forms; Emergency telephone and feedback cards; Certain areas in some library buildings restricted during TEO hours (e.g. upper floors, including mezzanine areas; toilets; some meeting rooms); Building security for opening and closing building perimeter where required	2	5	10	Open