

LEISURE SERVICE CONTRACT SUB RISK REGISTER AS AT 24 JUNE 2021

Inherent Risk Score						Residual Risk Score										Updated Comments 25/02/2021			
Risk ID	Risk Name	Lead	Impact	Likelihood	Total Score	RAG	Existing Controls	Source of Assurance	Impact	Likelihood	Total Score	RAG	Action	Progress	Further Actions Needed to reduce Risk	Deadline for Completion Actions	Officer(s) Responsible		
SR1 Legal																			
SR1.1	Failure to comply with Public Procurement Regulations	DCEO	7	9	63		Provision of Legal Services Member scrutiny through LSC Working Group, Authority & Committee meetings Ext Consultants Support Internal Audit	LA In house IA Audit Plan SMT Weekly Meeting Minutes M Exec Monthly M LSC Group EC advice	5	1	5		<>	Tolerate	Continue to receive external consultancy advice and report to Members	Monthly	CD S&L	Members received and approved report on final assessed tenders and appointed highest scorer	Members received and approved report on final assessed tenders and appointed highest scorer
SR1.2	Process delayed by legal challenge before November 1st 2019	DCEO	7	8	56		Provision of Legal Services Member scrutiny through LSC Working Group, Authority & Committee meetings Ext Consultants Support In-house staff work plans prioritised	LA In house IA Audit Plan SMT Weekly Meeting Minutes M Exec Monthly M LSC Group EC advice	5	2	10		>	Treat	On going monitoring and assessment of procurement at Officer & Member commissioning groups. Report on outcome of tendering process	Weekly	CD S&L	Preferred Contractor selected and approved by Members. Legal challenge to procurement has been withdrawn. Covid restrictions have prevented the contract starting on 1st April 2021 and a revised date of 1st April 2022 is the current proposed commencement date and officers will return to Members in due course.	Preferred Contractor selected and approved by Members. Legal challenge to procurement has been withdrawn and final contract negotiations have started to aim for an April 1st 2021 start date. Covid restrictions will prevent the contract starting on 1st April 2021 and a revised date of 1st October is the current proposed commencement date.
SR2 Contractual																			
SR2.1	New contractual arrangements not in place by 1 April 2020	DCEO	7	8	56		Reports to SMT and Members Financial/Legal/Risk Implications fully appraised. Ext Consultants Support In-house staff work plans prioritised Project Timetable/Plan	SMT Weekly Meeting Minutes M Exec Monthly M LSC Group EC advice LA contract	9	7	63		>	Treat	Ongoing resources review for contracts Work plan priority	Weekly	CD S&L	Covid restrictions have prevented the contract starting on 1st April 2021 and a revised date of 1st April 2022 is the current proposed commencement date and officers will return to Members in due course.	Members approved the temporary transfer back in-house due to the legal challenge and until the new contract can be entered into. Now the procurement challenge has come to an end the final contract negotiations have progressed with preferred bidder with a target start date of April 1st 2021. Since the government announcement of the COVID-19 tier 4 and 5 restrictions, the target start date has been delayed with a revised contract start date of 1st October 2021 being considered.
SR2.2	Existing Service deteriorates during interim period causing failure to delivering on agreed objectives, contractual requirements or financial targets prior to commencement of new contract	HoF	6	6	36		Delivery monitored by Director/Head of Service and performance monitoring team Quarterly Performance Reports to Executive & Scrutiny Committees Advice and support APMD plus external contractors. Quality contactors employed for maintenance through procurement (Price Quality ratio applied). Performance department regular inspections carried out	M Exec Monthly M Scrutiny 1/4ly IA Audit Plan SMT Weekly Meeting Minutes LA current contract	6	4	24		>	Treat	Quarterly Contract monitoring. Contractor Service Plan for 2019/20 Agreed	Executive Quarterly Monitoring	CD/HoF	Q4 LSC monitoring report to Executive 24/6/20. Q1 2021/22 LSC monitoring report to go to Executive and venue working groups in place to ensure quality of the service remains at a high level.	Q4 LSC monitoring report to Executive 25/6/20. Q1 2020/21 LSC monitoring report to Executive 24/9/20 and venue working groups in place to ensure quality of the service remains at a high level.
SR2.3	Management of Facilities Contracts & failure to maintain assets to a good H&S and operational standard	DCEO	9	4	36		Advice and support APMD plus external contractors. Quality contactors employed for maintenance through procurement (Price Quality ratio applied). Performance department regular inspections carried out	APMD Annual Inspections PR Monthly inspections M Exec Monthly M Scrutiny 1/4ly	5	3	15		>	Treat	Ongoing Monitoring Implement pre 2020 condition survey work	Annual/Monthly Inspections & Review.	HoA	New LSC commencement date has been delayed due to further COVID-19 restrictions and the target date for commencement is now April 1st 2022. Initial Facilities Management meetings have been postponed between GLL & LVRPA, these will recommence June 2021. Items scheduled for repair during the period April 2021- April 2022 will now be undertaken by APMD /LVRPA .	First year expenditure identified and consulted with GLL. Monthly meetings will monitor actual against planned. Internally FM will be monitored on a fortnightly basis. Any shortcomings will be addressed and if required re-charged back to Operator. With the contract not scheduled to commence in April 21, APMD will carry out planned works for the period.
SR 3 Resources																			
SR3.1	Inadequate I.T. Infrastructure/ Systems/Data for new LSC.	HoF	7	5	35		Reports to Exec Financial/Legal/Risk Implications fully appraised. Financial Appraisal of relocation/Updating of Authority IT assets New Usage Counters Existing IT Infrastructure Budget	SMT Weekly Meeting Minutes IA Audit Plan EC - LSC Specification	7	4	28		>	Treat	Review for Procurement process Review for new Contract post 2020	31/03/2020	HoF/HoIT	New contractor should have resources and hardware available to transfer systems and software licences. Contractor should not be relying on LVRPA hardware, but discussions will be required with contractor. Contractor will need to arrange their own software licences. Staff need time to be trained on new systems.	New contractor should have resources and hardware available to transfer systems and software licences. Contractor should not be relying on LVRPA hardware. LVRPA officers should not be required to assist transfer of software licences. Staff need time to be trained on new systems.
SR3.2	Inadequate Support Services to mitigate legal challenge during procurement process and to ensure adequate resources for contract mobilisation	HoF	7	8	56		Approved Process Authority Secondments resolved TUPE agreements Initial staff transfers confirmed Staff re-induction to LVRPA Internal/External communications	SMT - Weekly Meeting Minutes M - Exec Monthly LA -Confirmation on TUPE arrangements	6	1	6		<>	Tolerate	Support Services Review implemented for the time between Nov 2018 to Oct 2019 then post April 1st 2020	31/10/2019	HoF	Section to be removed.	Support Services Decoupling complete.
SR3.3	Inadequate resourcing levels during potential extended interim period.	DCEO	8	6	48		Internal/External communications Recruitment Process	IA Int Audit SMT Sr Mgmt Team M Members LA Legal Advice PR Performance Review	7	3	21		<>	Tolerate	Review of Staffing Budgets Consideration to further secondments from incoming contractor Consideration of redeployment of staff	31/03/2021	HoHR	Consideration to securing additional resources or redeploying existing resources to ensure the Authority has the support services required to operate the LSC venues before contract commencement date. Regular officer meetings where resources are discussed and taken to SMT if necessary.	Consideration to securing additional resources or redeploying existing resources to ensure the Authority has the support services required to operate the LSC venues before contract commencement date.

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SR 4	Financial Management																		
SR4.1	Financial Risks of failure to enter into contract by target date of April 2021, and Authority to continue operational control of venues.	HoF	9	6	54		Authority monitoring Meetings Joint Board Meetings £4m Minimum Reserves Policy Statutory Power to Levy	M Exec 1/4ly M Authority Annual Budget SMT Monthly & 1/4ly Reports	9	6	54		<	Treat	Budget Review & MTFP Explore the setting up of skeleton trust Explore options for rates relief if in Authority operation	31/09/2019	CD S&L	Members approved the temporary transfer back in-house due to the legal challenge and until the new contract can be entered into. Now the procurement challenge has come to an end the final contract negotiations have progressed with the preferred bidder with an original target start date of April 1st 2021. Since the government announcement of the COVID-19 tier 4 and national lockdown restrictions, the target start date has been delayed and a revised contract start date of 1st April 2022 has been proposed to GLL. Officers will return to Members in due course.	Members approved the temporary transfer back in-house due to the legal challenge and until the new contract can be entered into. Now the procurement challenge has come to an end the final contract negotiations have progressed with the preferred bidder with an original target start date of April 1st 2021. Since the government announcement of the COVID-19 tier 4 and national lockdown restrictions, the target start date has been delayed and a revised contract start date of 1st October 2021 has been proposed. A review is taking place on the effects of loss of rate relief as the contract will not commence on 1st April 2021 and consideration is needed for the financial impact of the Authority for running the venues into 2021/22.
SR5	Governance & Leadership																		
SR5.1	Contractor fails to provide the governance structures and leadership to deliver the statutory, financial and best practice requirements of the contract.	CEO	7	7	49		Authority/Contractor SMT meetings Joint Chairs meetings LSC contract Performance Monitoring Compliance with statutory bodies e.g. Charities commission/company law	M 1/4ly Authority Meetings M Working Groups M Exec Monthly SMT Weekly Meeting Minutes LA In house EA Ext Audit IA Int Audit	7	2	14		>	Treat	Review Authority/ Contractor SMT meetings. LSC Retender documentation Specification compliance and due diligence	30/11/2019	CEO	Preferred bidder selected and approved and meets requirements	Preferred bidder selected and approved and meets requirements
SR6	Reputation/Communication																		
SR6.1	Retendering of the contract requires engagement in the wider market including the existing contractor. Failure to deliver a fair and transparent process could damage the Authority's reputation in this and future tendering processes	CD S&L	7	7	49		External Consultants Employed (SLC) to support in-house legal specialists and Authority SMT Authority Governance structures Authority Legal Team PR Comms team	EC Reports SMT Weekly Meeting Minutes M Exec Monthly M 1/4ly Authority Meetings M Working Groups IA Procurement process	5	2	10		<>	Tolerate	PR/Comms team to manage external communications Employment of Stakeholder engagement	31/05/2019	CD S&L	Internal and external communications plan regarding the delay in place. Staff to be updated further at the next all staff briefing.	Internal and external communications strategy to be created to communicate any delay in contract start date with strong focus on staff. This would include video briefings, position statements etc.
SR7	Business Continuity																		
SR7.1	Inadequate business continuity implementation during procurement phase and during mobilisation of new contract.	CEO	7	7	49		Emergency Action Planning IT Disaster Recovery Plan Business Interruption Insurance Adequate Cover arrangements exist for Senior Management Site DRP & Management Plans Joint GGL/Authority Training Insurance Policies/Funds General Reserves H&S Audits Support Services Decoupling IT/	EA - Annual Audit Letter IA Audit Plan and monitoring visits SMT Weekly Meeting Minutes M Exec Monthly	5	4	20		>	Treat	Audit Recommendations implemented Further training and testing. Align Contractor Risk Register - to Authority risk register to ensure continuity	Quarterly Monitoring	CD S&L	Authority contract mobilisation team in place work programmes and actions in progress. Partial re-opening of venues commenced in March with Covid-19 tracker in place to ensure all H&S and other Government regulations complied with. Further changes have taken place and Covid-19 tracker revised as required.	Authority contract mobilisation team in place work programmes and actions in progress. Partial re-opening of venues commenced in July with Covid-19 tracker in place to ensure all H&S and other Government regulations complied with. Further changes have taken place and Covid-19 tracker revised as required.
SR8	Major Business Developments																		
SR8.1	Leisure Services Contract Retender Failure in Strategic Risks 1-7 above in the retender of the Leisure Services Contract	CEO	9	5	45		Legal Advice Procurement Regulations Medium Term Financial Plan Existing PR/Comms External Consultants Member Steering Group Market Engagement Specification SMT monitoring	EC Reports SMT Weekly Meeting Minutes M Exec Monthly M 1/4ly Authority Meetings M Working Groups IA Audit Plan EA - Annual Audit Letter	9	6	54		>	Treat	Scoring team who will be independently trained to score the bids. Separate panel three officers (1 external) who will be the check and challenge for all areas relating to the scoring. Internal Audit	31/10/2019	CEO	Members approved the temporary transfer back in-house due to the legal challenge and until the new contract can be entered into. Now the procurement challenge has come to an end the final contract negotiations have progressed with preferred bidder with an initial target start date of April 1st 2021. Since the government announcement of the COVID-19 tier 4 and national lockdown restrictions, the target start date has been delayed and a revised contract start date of 1st April 2022 has been considered, with a final decision to be made in June 2021.	Members approved the temporary transfer back in-house due to the legal challenge and until the new contract can be entered into. Now the procurement challenge has come to an end the final contract negotiations have progressed with preferred bidder with a target start date of April 1st 2021. Since the government announcement of the COVID-19 tier 4 and national lockdown restrictions, the target start date has been delayed and a revised contract start date of 1st October 2021 has been considered.
SR8.2	Leisure Services Contract Retender Failure to appoint contractor for new Leisure Service Contract.	CEO	9	5	45		Legal Advice Procurement Regulations External Consultants Member Steering Group Procurement regulations diligently followed through process	EC Reports SMT Weekly Meeting Minutes M Exec Monthly M 1/4ly Authority Meetings M Working Groups IA Audit Plan	9	5	45		>	Treat	Explore setting up a skeleton trust to be established as part of Business Continuity Plan for maintaining service provision.	30/11/2019	CEO	The preferred bidder is still keen and willing to enter into the new LSC with the Authority. The COVID-19 restrictions have continued to give some short term uncertainty which may delay the revised start date and further options are being proposed to Members as to how to manage this situation until a final resolution has been agreed.	The preferred bidder is still keen a willing to enter into the new LSC with the Authority. The recent COVID-19 restrictions have created some short term uncertainty which may delay the revised start date and further options are being proposed to Members as to manage this situation.

632

324

Score 45-81 High Risk
Score 18-42 Moderate risk
Score 1- 16 Low risk

> Progress in a positive direction i.e. reducing the risk
< Progress is negative and risk is getting worse.
<> Progress static subject to actions or as risk is "tolerated"