

LEISURE SERVICE CONTRACT SUB RISK REGISTER AS AT 23 SEPTEMBER 2021

Inherent Risk Score							Residual Risk Score												
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	Updated Comments 23/09/2021	Updated Comments 24/06/2021
SR1	Legal																		
SR1.1	Process delayed by legal challenge before November 1st 2019	DCEO	7	5	35		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 Legal challenge to procurement has been withdrawn.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 prevented the contract starting on 1st April 2021 and a revised date of 1st April 2022 is the current commencement date and officers will return to Members in October to request formal permission to enter into the new LSC contract with GLL under seal.	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 Legal challenge to procurement has been withdrawn.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.
SR2	Contractual																		
SR2.1	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.	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	Q2 2021/22 Budget monitoring report, including LSC venues, to go to Executive in October, and venue working groups in place to ensure quality of the service remains at a high level.	Q4 LSC monitoring report to Executive 24/6/21. 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.
SR2.2	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 contractors 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 had been postponed between GLL & LVRPA, but these recommenced June 2021. Items scheduled for repair during the period April 2021- April 2022 will now be undertaken by APMD /LVRPA. Seconded from GLL in place to oversee M& E maintenance and improvements.	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 .
SR 3	Resources																		
SR3.1	Inadequate I.T. Infrastructure/ Systems/Data for new LSC.	HoF	6	5	30		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	CD/ 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 are in progress with contractor. Contractor will need to arrange their own software licences. Staff need time to be trained on new systems. GLL have confirmed that they will not be using Clarity booking system	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.
SR3.2	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 where necessary.	31/03/2021	HoHR	Support services have been reviewed to ensure 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. Ice Centre staff redeployed to other LSC venues whilst new Ice Centre is being built to plug a number of current vacancies.	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.
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 of the venues due to the legal challenge and until the new contract can be entered into. The final contract negotiations have progressed with GLL with a revised, target start date of April 1st 2022. Officers are carrying out due diligence to ensure that, following the impact of continuing Covid-19 situation, GLL is still a 'fit and proper' organisation and therefore able to effectively deliver the LSC. There will be a report to the Exec Committee in the summer/early autumn.	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.
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

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SR6	Reputation/Communication																		
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 GLL/Authority Training Insurance Policies/Funds General Reserves H&S Audits Support Services Decoupling IT/HR/Finance	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 with work programmes and actions in progress. Venue re-opening commenced in July based on a site by site business case, with Covid-19 tracker in place to ensure all H&S and other Government regulations complied with. Further changes will continue to meet changes to restrictions and Covid-19 tracker will be revised as required.	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.
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	4	36		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	8	3	24		>	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 of the venues due to the legal challenge and until the new contract can be entered into. The final contract negotiations have progressed with GLL with a revised, target start date of April 1st 2022. Officers are carrying out due diligence to ensure that, following the impact of continuing Covid-19 situation.	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.
SR8.2	Leisure Services Contract Retender Failure to appoint contractor for new Leisure Service Contract.	CEO	9	2	18		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 EA - Annual Audit Letter	9	3	27		>	Treat	Explore setting up a skeleton trust to be established as part of Business Continuity Plan for maintaining service provision.	30/11/2019	CEO	GLL are committed to the contract and it's just the final part of the process to sign the contract under seal which is left to undertake. This will come to Members for Consideration in October 2021.	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 has delayed the original revised start date and further options have been proposed to Members as to how to manage this situation until a final resolution has been agreed.

SR6.1 Removed as no longer valid

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Score 45-81 High Risk