

STAFFORDSHIRE AND STOKE ON TRENT ARCHIVE SERVICE

IDENTIFIED RISK REGISTER

2018

Archive Service Identified Risk Details

Risk rating is 1-5 for likelihood multiplied by impact. The risk categories total score is out of 25: 1-8 = low; 9-16 = medium, 17-25 = high. Risk are RAG rated.

1.

Risk Description	Failure of environmental controls / prescribed conditions in Archive Service strongrooms which would result in physical deterioration of collections
Risk Owner	Head of Archives & Heritage (Place) – Joanna Terry
Associated Risk Owners	Archive Senior Management Team; Record Office Manager
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
Continuous monitoring of environmental controls	Daily checking process by conservation team against PD5454 parameters	Condition Records
Bi-annual checks of air conditioning equipment	Arranged by through/central contracting process- Property Services	Equipment Manuals and Service Reports
Reporting procedure	Through designated staff	Building Report Records
General Risk Assessments for Staffordshire Record Office	Updated annually by Record Office Manager	Risk records

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Reduction in PS resource allocation to maintain adequate servicing	Ensure contingency within Archive Service Budget
2	Major failure of equipment	Ensure sufficient contingency in budget reserve

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
		Net Score: (L x I)	8
	L(ikelihood):	2	
	I(mpact):	4	

2.

Risk Description	Fire in Record Offices
Risk Owner	Head of Archives & Heritage (Place) – Joanna Terry
Associated Risk Owners	Archive Senior Management Team; Record Office Manager
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
Fire detection systems: incl high sensitivity detection in all strongrooms, linked to central monitoring station	Weekly fire testing	Test Records
Fire suppression system in extension strongrooms	Weekly fire testing	Test records
Quarterly checks of fire detection / suppression systems	Arranged through central contracting process - Property Services	Equipment Manuals and Service Reports
Faults reporting procedure	Through designated staff	Building Report Records
General Risk Assessments for Staffordshire Record Office	Updated annually by Record Office Manager	Risk records

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Reduction in PS resource allocation to maintain adequate servicing	Ensure contingency within Archive Service Budget
2	Major failure of equipment	Ensure sufficient contingency in budget reserve
3	Accidental discharge of Inergen Gas	Ensure sufficient contingency in budget reserve to replace
4	Failure of all communication systems between Record Offices and central monitoring stations resulting in serious loss	Maintain weekly testing Emergency Plan Insurances for conservation treatment as a result of emergency

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	10
		L(ikelihood):	2
		I(mpact):	5

3.

Risk Description	Flood/water ingress in Record Offices
Risk Owner	Head of Archives & Heritage (Place) – Joanna Terry
Associated Risk Owners	Archive Senior Management Team; Record Office Manager
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
Secondary packaging of vulnerable material	Through designated staff	Preservation Programme
Physical inspection of buildings	Weekly visual inspection of building	Building maintenance log
Faults reporting procedure	Through designated staff	Building maintenance log
Flood detection systems at outstore and in SRO basement	Regular servicing	Building maintenance log
General Risk Assessment for Staffordshire Record Office	Updated annually by Record Office Manager	Risk records

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Reduction in PS resource allocation to maintain adequate servicing	Ensure contingency within Archive Service Budget
2	Major failure of equipment	Ensure sufficient contingency in budget reserve
3	Failure of all communication systems between Record Offices and central monitoring stations resulting in serious loss	Emergency Plan Insurances for conservation treatment as a result of emergency

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	9
		L(ikelihood):	3
		I(mpact):	3

4.

Risk Description	Vandalism at Record Offices
Risk Owner	Head of Archives & Heritage (Place) – Joanna Terry
Associated Risk Owners	Archive Senior Management Team; Record Office Manager
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
Security systems: incl intruder alarm systems linked to central monitoring station, CCTV systems where appropriate	Ensure intruder alarms are set	Central monitoring station logs
Physical inspection of buildings	Weekly visual inspection of exterior of building	Building maintenance log
Six-monthly checks of intruder alarm systems	Arranged by through central contracting process - Property Services	Equipment Manuals and Service Reports
Faults reporting procedure	Through designated staff	Building Report Records
General Risk Assessments for Staffordshire Record Office	Updated annually by Record Office Manager	Risk records
Insurance for conservation following emergency	Updated annually	Specialist insurance policies

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Reduction in PS resource allocation to maintain adequate servicing	Ensure contingency within Archive Service Budget
2	Major failure of equipment	Ensure sufficient contingency in budget reserve
3	Failure of all communication systems between Record Offices and central monitoring stations resulting in serious loss	Emergency Plan Insurances for conservation treatment as a result of emergency caused by vandalism

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	10
		L(ikelihood):	2
		I(mpact):	5

5.

Risk Description	Theft of / damage to archives while in public use
Risk Owner	Head of Archives & Heritage (Place) – Joanna Terry
Associated Risk Owners	Archive Senior Management Team; Record Office Manager
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
CCTV in place in all reading rooms	Continuous filming of public areas	CCTV films
Continuous supervision of reading room by staff	Staff are vigilant and walk round regularly	Duty rotas
Controlled issue and return of documents	Weighing and checking of documents on issue and return Discrepancies picked up on the spot.	Production slips
Registration of readers	Production of proof of ID and address at registration	Registration cards maintained for 15 years
Code of Conduct for Readers	Issued at registration of new readers and published on web site	Registration cards
Terms of deposit insurance clause	Owners made aware of insurance position at deposit	Deposit file

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Staff shortages resulting in failure to ensure adequate supervision	Ensure budgetary provision for minimum reading room staffing levels

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	15
		L(ikelihood):	3
		I(mpact):	5

6.

Risk Description	Theft of / damage to / loss of archives while in transit between offices
Risk Owner	Head of Archives & Heritage(Place) – Joanna Terry
Associated Risk Owners	Archive Senior Management Team; Record Office Manager
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
Named staff only		Office diaries
Correct manual handling	Instruction of all staff in correct manual handling; use of available equipment (e.g. trolleys)	Training Record
Vehicle security	Instruction to staff to keep transporting vehicle locked or supervised at all times	Staff Memoranda
Provision of mobile phones for staff use	Instruction to staff to carry mobile phone when working offsite	Staff Memoranda
Insurance for documents while in transit by staff / others	Updated annually	Specialist Insurance Policies

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1		

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	5
		L(ikelihood):	1
		I(mpact):	5

7.

Risk Description	Damage/loss of Digital Archives
Risk Owner	Head of Archives & Heritage(Place) – Joanna Terry
Associated Risk Owners	Archive Senior Management Team;
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
Secure digital repository		Network path
Regular back ups	Back up run daily by ICT staff on DAT tapes with off site copies maintained	Staffordshire ICT back up records
Restricted access with no ability to delete	Access only to named staff, deletion of files only to be carried out by ICT staff under Head of Archives & Heritage instruction	Staff guidelines
Full documentation of digital archives upon accession	Collection of information about file formats, dates created though use of DROID programme	Digital Archives spreadsheet, DROID reports
Use of stable, well documented, open formats	Migrate archives as required from proprietary formats to reliable open formats	Digital Archives spreadsheet.

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Reduction in ICT resource allocation to maintain dedicated space and back up systems	Ensure contingency within Archive Service Budget
2	Loss of key staff to maintain checks	Ensure duties are reallocated and training delivered.

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	20
		L(ikelihood):	4
		I(mpact):	5

8.

Risk Description	Potential Sale of Collections by Owners
Risk Owner	Head of Archives & Heritage (Place) – Joanna Terry
Associated Risk Owners	Archive Senior Management Team
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
Full documentation of ownership of collections	Accessioning process	Deposit files and accession register
Terms of deposit of collections including compensation clause	Accessioning / deposit process	Signed Terms on file
Archive Service fundraising strategy and guidelines	Use of external funding from appropriate sources to secure collections	

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Deposit system	Ensure donation of collections wherever possible
2	High market values / economic climate	Maintain acquisitions reserve
3	Lack of current information about ownership	Ongoing follow up work on and recording of status of collections

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	15
		L(ikelihood):	3
		I(mpact):	5

9.

Risk Description	Damage to archives caused by erroneous conservation treatment
Risk Owner	Head of Archives & Heritage (Place) – Joanna Terry
Associated Risk Owners	Senior Conservator
Sources of Assurance	Risk Owner and Associated Risk Owner

Key Controls and Processes

Control	Process	Records
Appropriate professional knowledge and qualifications of conservators	Formal training of conservators in conservation techniques Continuous professional development (CPD) of conservators Accreditation of Senior Conservator by Institute of Conservation (incl periodic review of CPD paperwork)	Entry qualifications Training record Personal file
Professional supervision of Conservator by Senior Conservator	Senior Conservator required to agree to proposed treatment prior to commencement of work	Conservation Record Sheets
BS 4971 (2002)- Repair and Allied Processes for the Conservation of Documents	All conservation work carried out in accordance with standard	Conservation Record Sheets

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Idiosyncratic /unanticipated reaction of specific document to any given course of treatment	Exhaustive testing and monitoring of results

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	5
		L(ikelihood):	1
		I(mpact):	5

10.

Risk Description	Risk to staff and members of the public whilst in attendance at Archive Service events at external venues
Risk Owner	Head of Archives & Heritage (Place) – Joanna Terry
Associated Risk Owners	Archive Senior Management Team
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
Provision of mobile phones for staff use	Instruction to staff to carry mobile phone when working offsite	Risk Assessment
Liaison with building manager	Site meeting with building manager in advance of event	Risk Assessment
Assessment of risks associated with the venue to be used for the event	Risk assessment of hazards specific to building	Risk Assessment
Assessment of risks associated with tasks and activities undertaken	Risk assessment of all tasks and activities	Risk Assessment

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Failure of building manager to provide adequate advance information regarding risks	Ensure availability of site manager or substitute during event

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	5
		L(ikelihood):	1
		I(mpact):	5

11.

Risk Description	Lone Working of Staff Offsite
Risk Owner	Head of Archives & Heritage (Place) – Joanna Terry
Associated Risk Owners	Archive Senior Management Team
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
Staff Guidelines for Lone Working	Issued at induction training and reiterated through staff health and safety training	Training records
Provision of mobile phones for staff use	Instruction to staff to carry mobile phone when working offsite	Staff Memoranda

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	10
		L(ikelihood):	2
		I(mpact):	5

12.

Risk Description	Risk of harm to children on work placements with the Archive Service
Risk Owner	Head of Archives & Heritage (Place) – Joanna Terry
Associated Risk Owners	Archive Senior Management Team; Archivist (Access and Learning); Record Office Manager
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
CRB checks on staff in regular contact with children only	Three-yearly checks for existing staff and check on all new appointments only for relevant staff	Personnel files
Induction training	Students are informed of the procedures for emergency evacuation, first aid provision, manual handling, health and safety, guidelines for safe use of equipment	Copy of Placement Record supplied to the school
Assessment of risks associated with tasks allocated	Risk assessment of all tasks allocated	Risk Assessment
Supervision of placement	Students are supervised at a level in accordance with their perceived abilities and the nature of the task being undertaken	
Staff awareness of child protection issues	Specialist training of Archivist (Access and Learning) and Principal Archivist (Lichfield Record Office) in child protection issues	Training Record

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Potential immaturity / vulnerability of children accepted for work placement	On-going assessment of capabilities and social awareness of student and tailoring of tasks and level of supervision if considered necessary
2	Changing policy re CRB checks and who they are carried out on	Ensure budgetary provision to pay for checks on specific staff in contact with children

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	5
		L(ikelihood):	1
		I(mpact):	5

13.

Risk Description	Impact of flu pandemic on service delivery
Risk Owner	Head of Archives & Heritage (Place) – Joanna Terry
Associated Risk Owners	Archive Senior Management Team
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
Dissemination of information re precautions to minimise risks	Staff meeting briefings Information supplied to staff in hard copy and on intranet	Staff Meeting minutes
Minimum level and correct combination of staffing for safe service delivery and security of collections	Application of pairing systems for staffing Normal security procedures	Information for Staff leaflets
Reductions in public opening hours, public bookings and other aspects of service delivery	Ongoing situation assessment	
Temporary closure with manning of telephones and computers to deal with distance enquiries	Ongoing situation assessment	

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Regular contact of frontline staff with members of the public	Provision of gloves for staff Maintain fresh air flow in public rooms

Strategic Risk Category		Risk rating¹ (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	5
		L(ikelihood):	1
		I(mpact):	5

14.

Risk Description	Risk of harm to volunteers working on preservation projects with the Archive Service
Risk Owner	Head of Archives & Heritage (Place) – Joanna Terry
Associated Risk Owners	Senior Conservator; Participation & Engagement Officer
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
Induction training	Volunteers are informed of the procedures for emergency evacuation, first aid provision, manual handling, health and safety, guidelines for safe use of equipment	Volunteer agreement
Assessment of risks associated with tasks allocated	Risk assessment of all tasks allocated	Risk Assessment
Supervision of volunteers	Volunteers are supervised at a level in accordance with their perceived abilities and the nature of the task being undertaken	

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Potential unfamiliarity with equipment used during the task	On-going assessment of capabilities and tailoring of tasks and level of supervision if considered necessary

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	10
		L(ikelihood):	2
		I(mpact):	5

15.

Risk Description	Risk of inability to transform service, build new storage and access facilities for the Archive Service
Risk Owner	Head of Archives & Heritage (Place) – Joanna Terry
Associated Risk Owners	Archive Service Management team
Sources of Assurance	Risk Owner and Associated Risk Owners

Key Controls and Processes

Control	Process	Records
Deliver Staffordshire History Centre project	Submit stage 2 bid	HLF application
Ensure members are informed of progress, risks and alternative plans	Regular briefings and reports to members	Joint Archive Committee minutes and reports
Ensure key staff are identified to work on the project	Project Board, Project Team and steering group	Governance structure
Ensure public awareness of the project and vision behind it	Service newsletter, website, social media	Forward Plan and Service Plan

	<u>Vulnerabilities</u>	<u>Mitigating Actions</u>
1	Funding bid does not succeed	Revisit bid, listen to feedback and resubmit

Strategic Risk Category		Risk rating1 (low) - 5 (high)	TOTAL
Service Delivery		Net Score: (L x I)	15
		L(ikelihood):	3
		I(mpact):	5