








Customer Risk Register by Cluster



The Risk Register for the Customer function details the live risks of operational significance. Whilst we acknowledge there are other areas that present a risk to the Council if not managed correctly, these are monitored effectively in business as usual activities therefore not detailed in the function risk register. We actively monitor all operational risks and will appropriately escalate any risk if there is an increase in significance.

Code	Title	Current Risk Score	Residual Risk Score	Cluster	Risk Owner	Risk Manager	LOIP Themes
CEXP-001	Customer Experience Service Delivery	16 	12 	Customer Experience	Jacqui McKenzie	Wayne Connell Allan MacCreadie Lucy McKenzie Marion Philip Bruce Reid	Prosperous People
DT001	Digital and Technology Service Delivery	16 	12 	Digital & Technology	Andrew Howe	Norman Cook Steve Robertson Chris Sellar	Enabling Technology
EICE001	Universal Credit	16 	12 	Early Intervention & Community Empowerment	Derek McGowan	Neil Carnegie	Prosperous People

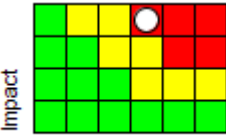
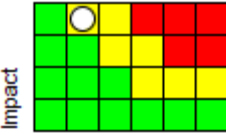
Code	Title	Current Risk Score	Residual Risk Score	Cluster	Risk Owner	Risk Manager	LOIP Themes
EICE002	Void Properties	16 	12 	Early Intervention & Community Empowerment	Derek McGowan	Neil Carnegie	Prosperous People
EICE003	Commissioning Intentions – Children and Young People	9 	6 	Early Intervention & Community Empowerment	Derek McGowan	Derek McGowan	Prosperous People
EICE004	Commissioning Intentions – Adults	9 	6 	Early Intervention & Community Empowerment	Derek McGowan	Derek McGowan	Prosperous People
EIEC005	Commissioning Intentions - Place	6 	4 	Early Intervention & Community Empowerment	Derek McGowan	Derek McGowan	Prosperous People

Customer Experience Cluster

Code	CEXP001	Customer Experience Service Delivery		
Definition	Risk to delivery of key front-line services in the event of failures of systems or processes			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> Failure to deliver statutory services Customers unable to access services Health, wellbeing and safety of customers impacted Inability to deliver KPIs/ Service Delivery Targets Loss of income Reputational damage 	<ul style="list-style-type: none"> System failure Lack of robust control measures, e.g. Business Continuity plans Not maintaining skillset 	Implementation of robust Business Continuity Plans	Partially Effective	<p>Impact</p> <p>Likelihood</p>
		Ongoing testing of existing Disaster Recovery Contract for Community Alarm Service	Fully Effective	
		Effective Disaster Recovery arrangements in place to ensure full requirements of Community Alarm service is met.	Partially Effective	
		Effective local administration of key systems for which the Customer Experience cluster is responsible for.	Partially Effective	
		Effective multi-skilling of staff to ensure business continuity	Partially Effective	
				Very serious
				Significant
Risk Owner	Jacqui McKenzie	Risk Manager	Wayne Connell Allan MacCreadie Marion Philip Lucy McKenzie Bruce Reid	Residual Risk Assessment
Latest Note	Risk reviewed and updated at Customer Experience Senior Management Team (SMT) meeting		30 Sep 2019	<p>Impact</p> <p>Likelihood</p>
				Very serious
				Low

Customer Experience Assurance Map

Risk Reference	Risk Description	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
CEXP001	<p>Customer Experience Service Delivery</p> <p>Risk to delivery of key front-line services in the event of failures of systems or processes</p>	<ul style="list-style-type: none"> Operational Test Schedules for Business Continuity Plans Operational procedures and guidance including those set out in the Business Continuity Plans in the event of a system or process failure. Risk Assessments Staff training and development on business continuity arrangements. Analysis following activation of business continuity arrangements / tests and improvement plans identified. 	<ul style="list-style-type: none"> Customer Experience Cluster Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register Customer Function Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register Assurance Team Business Continuity Group Sub-Group 	<ul style="list-style-type: none"> Annual reporting of Function / Cluster Risk Register to Operational Delivery Committee. Internal Audit Plan approved and overseen by Audit, Risk and Scrutiny Committee

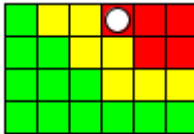
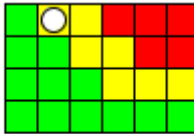
Code	DT001	Digital & Technology Service Delivery		
Definition	The impact of IT service disruption on the ability of the Council to deliver key services to customers.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> • Service disruption • Impact on Council Finances • Inability to share services • Reduced capability to deliver customer facing services • Unlawful disclosure of sensitive information • Individuals placed at risk of harm • Prosecution - penalties imposed • Reputational damage 	<ul style="list-style-type: none"> • Out of date Server OS (Windows Server 2008 End of Life January 2020) • Analogue to Digital switchover (ISDN and Analogue lines End of Life 2025) • Out of date client OS (Windows 7 End of Life January 2020) • No PSN accreditation • Unsupported software • Out of date software • Move to external cloud-based services • System downtime 	Vendor and Contract Management	Fully Effective	 <p>Likelihood</p>
		Assign adequate resources	Fully Effective	
		Horizon Scanning	Fully Effective	
		Monitoring and Alerting	Fully Effective	
		Testing	Fully Effective	
		Accreditation	Partially Effective	
		Software Catalogue	Fully Effective	
		Patch Management	Partially Effective	
		Critical System Availability Management	Fully Effective	
		IT Support Service	Fully Effective	
		Change Management	Fully Effective	
		IT Policy Management	Fully Effective	
		System Lifecycle Management	Partially Effective	
			Significant	
Risk Owner	Andrew Howe	Risk Manager	Norman Hogg	Residual Risk Assessment
Latest Note	Risk reviewed and updated by Risk Owner and Risk Manager – 1 st October 2019		1 Oct 2019	 <p>Likelihood</p>
				Very serious
				Very Low

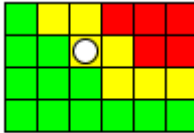
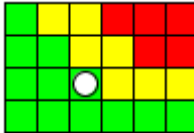
Digital and Technology Assurance Map

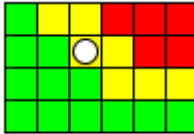
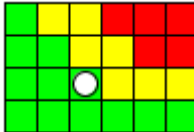
Risk Reference	Risk Description	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
DT001	<p>Digital & Technology Service Delivery The impact of IT service disruption on the ability of the Council to deliver key services to customers.</p>	<ul style="list-style-type: none"> • Mandatory Information Governance Staff Training and IT Security Staff Training • Operational procedures and guidance notes • Policy documentation including, Information and Communication Technology (ICT) Acceptable Use Policy and ICT Access Control Policy, Protective Monitoring Policy • ICT System Risk Assessments • Data Privacy Impact Assessments • Investigation into incidents and breaches • Vendor Management • Monitoring & Alerting • Patch Management • Change Management 	<ul style="list-style-type: none"> • Corporate Management Team (CMT) Stewardship undertakes monthly review of Corporate Risks • Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Information Governance Group 	<ul style="list-style-type: none"> • Annual Internal Audit Plan approved and overseen by Audit Risk and Scrutiny Committee • Cyber Essentials testing and accreditation • External IT Health Checks • Reports from Scottish Governance Cyber Resilience • External Penetration testing • IT Audits

Early Intervention & Community Empowerment Cluster

Code	EICE001	Universal Credit		
Definition	Universal Credit full roll out may reduce tenancy sustainment and increase rent arrears and homeless applications.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> Increase in rent arrears levels in mainstream tenancies Customer satisfaction levels decrease Improvements made in the homeless journey cannot be maintained Negative impact on household finances Negative impact on health and wellbeing of tenants due to financial pressure LOIP objectives not met Increase in homelessness presentations Impact on HRA fund including availability of Capital 	<ul style="list-style-type: none"> Full roll out of Universal Credit on 31st October 2018 Increase in waiting periods for benefits to be received Some tenants may elect not to have their benefits paid directly to ACC as landlord Complexity of UC system 	Ongoing work with City partners and DWP	Fully Effective	<p>Impact</p> <p>Likelihood</p>
		Training package for ACC staff including Housing, Housing Support, Revenue and Benefits	Fully Effective	
		Increase in housing officer type roles	Partially effective	
		Rent Management Policy refreshed	Partially effective	
		Additional post created at Job Centre	Partially effective	
		Monitoring of UC impact ongoing and cttee report scheduled in November 2019 to identify any further actions required to manage and mitigate	Partially effective	
		Proactive use of direct payments	Fully Effective	Very serious
				Significant
Risk Owner	Derek McGowan	Risk Manager	Neil Carnegie	Residual Risk Assessment
Latest Note	Risk reviewed and updated by Risk Owner and Risk Manager – 3rd October 2019		3 Oct 2019	<p>Impact</p> <p>Likelihood</p> <p>Very serious</p> <p>Very Low</p>

Code	EICE002	Void Properties		
Definition	Level of void properties affecting rental income and availability of homes available to let			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> Loss of income -projected at £1.3m for 2019/20 Inability to break contracts in the Private Sector Leasing scheme, leading to projected savings of £150k not being realised in 2019/20 Lack of homes to house people in, affecting homeless journey times and leading to use of hotels and B&Bs, thereby increasing spend Reputational damage and formal engagement from Scottish Housing Regulator Poor customer experience 	<ul style="list-style-type: none"> Availability of skilled staff to repair homes Availability of staff to allocate homes Condition of some homes when handed back to ACC Relatively high levels of termination associated with greater availability of housing in the private rented sector 	Monthly review group analysing performance	Partially effective	 <p>Impact</p> <p>Likelihood</p>
		Interventions by senior management	Partially effective	
		Increase in staffing for repairs and allocations	Partially effective	
				Very serious
				Significant
Risk Owner	Derek McGowan	Risk Manager		Residual Risk Assessment
			Neil Carnegie	
Latest Note	Risk reviewed and updated by Risk Owner and Risk Manager – 3rd October 2019		3 Oct 2019	 <p>Impact</p> <p>Likelihood</p>
				Very serious
				Very Low

Code	EICE003	Commissioning Intentions – Children and Young People		
Definition	Failure to meet commissioning intentions may lead to increased demand on services			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> Poor outcomes for Children and Young People Increase in cumulative neglect cases / child protection cases Increase in children and young people being charged with offences / entering the criminal justice system Level or increasing demand on services Children and young people are affected by homelessness Increase in costs 	<ul style="list-style-type: none"> Resourcing Partnership approach to outcomes Skills and capability of service National agency policy – Crown Office, Police for example Availability of Council housing in the City – void properties 	Review of CLD services in conjunction with Education Scotland	Effective	 Likelihood
		Using IHI methodology to develop project charters	Partially effective	
		Training programme for specific skills – MEOC, Domestic Abuse, Adult Protection	Effective	
		Community Planning Aberdeen and Council scrutiny of performance	Effective	
		Violence Against Women Partnership Action Plan development	Effective	
		Develop and implement new Council housing domestic abuse policy	Partially Effective	
		Increase number of secondary schools with mentors in violence prevention scheme in place	Partially Effective	
				Serious
				Low
Risk Owner	Derek McGowan	Risk Manager	Neil Carnegie	Residual Risk Assessment
Latest Note	Risk reviewed and updated by Risk Owner and Risk Manager – 3rd October 2019		3 Oct 2019	 Likelihood
				Serious
				Very Low

Code	EICE004	Commissioning intentions – Adults		
Definition	Failure to meet commissioning intentions may lead to increased demand on services			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> Poor outcomes for Children and Young People Increase in cumulative neglect cases Increase in children and young people being charged with offences / entering the criminal justice system Level or increasing demand on services Adults and families are affected by homelessness Increase in costs 	<ul style="list-style-type: none"> Resourcing Partnership approach to outcomes Skills availability National agency policy – Crown Office, Police for example Availability of Council housing in the City – void properties 	Review of CLD services in conjunction with Education Scotland	Effective	 Likelihood
		Using IHI methodology to develop project charters	Partially effective	
		Training programme for specific skills – MEOC, Domestic Abuse, Adult Protection	Effective	
		Community Planning Aberdeen and Council scrutiny of performance	Effective	
		Void property review group	Partially effective	
		Violence Against Women Partnership Action Plan development	Effective	
		Develop and implement new Council housing domestic abuse policy	Partially effective	
			Serious	
			Low	
Risk Owner	Derek McGowan	Risk Manager	Neil Carnegie	Residual Risk Assessment
Latest Note	Risk reviewed and updated by Risk Owner and Risk Manager – 3rd October 2019		3 Oct 2019	 Likelihood
				Serious
				Very Low

Code	EICE005	Commissioning Intentions - Place		
Definition	Failure to meet commissioning intentions may lead to increased demand on services			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> Low levels of community resilience and ongoing reliance on ACC to provide services Low level of community participation in development of Locality Plans 	<ul style="list-style-type: none"> Resourcing Community links Co-ordinated approach to developing locality plans with HaSCP 	Public Protection Committee	Partially effective	<p>Likelihood</p> <p>Serious</p> <p>Very Low</p>
		Organisational Resilience Group	Effective	
		Scrutiny from community Planning Aberdeen	Effective	
Risk Owner	Derek McGowan	Risk Manager	Derek McGowan	Residual Risk Assessment
Latest Note	Risk reviewed and updated by Risk Owner- 3rd October 2019		3 Oct 2019	<p>Likelihood</p> <p>Material</p> <p>Very Low</p>

Early Intervention and Community Empowerment Assurance Map

Risk Reference	Risk Description	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
All	Early Intervention and Community Empowerment	<ul style="list-style-type: none"> • Staff training and development • Operational procedures and guidance documentation • Policy documentation • Strategy • Culture 	<ul style="list-style-type: none"> • Corporate Management Team (CMT) • Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Operational Delivery Committee • Educational Operational Delivery Committee • Council • Community Planning Aberdeen 	<ul style="list-style-type: none"> • Annual Internal Audit Plan approved and overseen by Audit Risk and Scrutiny Committee • Annual External Audit and report • Operational Delivery Committee • Educational Operational Delivery Committee • Council • Audit, Risk and Scrutiny Committee • Community Planning Aberdeen