

## APPENDIX 1

# CH&I Risk Register

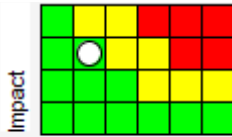
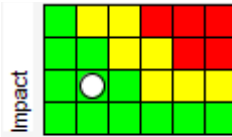
**Report Type:** Risks Report

**Report Author:** Kenny Easton

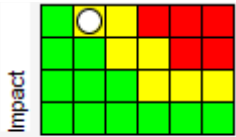
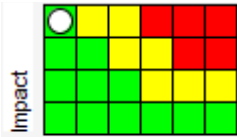
**Generated on:** 13 April 2015

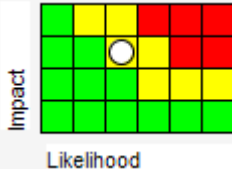
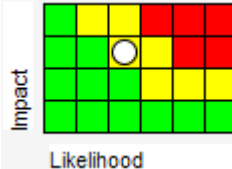


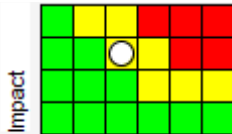
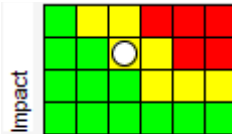
Code	Title	Risk Description	Potential Impact	Current Risk Matrix	Residual Risk Matrix	Approach	Ownership Managed By
CHI	Communities Housing and Infrastructure Risk Register						SMT
Risk Factors			Internal Controls		Mitigating Actions		

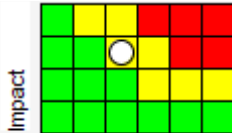
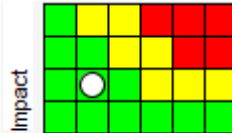
Code	Title	Risk Description	Potential Impact	Current Risk Matrix	Residual Risk Matrix	Approach	Ownership Managed By
CHI001	Risk that effective business continuity and disaster recovery arrangements are not in place	Identifies that breakdown in key systems and or functions may result in Customers/ Service users being unable to access Services	Potential harm/loss of life to public. Inability to meet statutory requirements. Inability to perform day to day service provision. Negative impact for customers. Reputational damage.	 <p>Impact</p> <p>Likelihood</p>	 <p>Impact</p> <p>Likelihood</p>		SMT
Risk Factors		Internal Controls		Mitigating Actions			
Council has statutory/ legislative duty to ensure provision of services to the public, potentially jeopardised by having inadequate disaster recovery planning and business continuity arrangements in place		Internal arrangements in place to review all business continuity arrangements ensuring plans remain current and consistent approach and best practice adopted across the entire Communities, Housing and Infrastructure Service Close liaison with Emergency Planning Manager and compliance with Review and Testing Schedule		<p>Council has a Business Continuity Policy in place.</p> <p>Co-ordinating Role of Emergency Planning Manager</p> <p>Critical functions identified by CMT</p> <p>Effective and current business continuity plans in place</p> <p>On-going communication with staff to ensure staff awareness and appreciation of mitigation in place</p> <p>Continue to engage with and contribute to corporate business continuity planning process</p>			

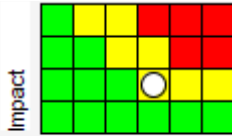
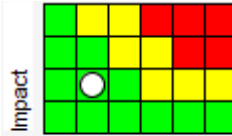
Code	Title	Risk Description	Potential Impact	Current Risk Matrix	Residual Risk Matrix	Approach	Ownership Managed By
CHI002	Risk of poor financial management and financial decision making	Recognises the need for a robust system of financial management to be in place to ensure the Council can continue to meet its statutory obligations	Resources insufficiently funded potentially resulting in harm/loss of life to public. Inability to meet statutory requirements Reduced ability to fully deliver services and City, Council and directorate priorities Budget overspends/ underspends Reputational damage				SMT
Risk Factors			Internal Controls	Mitigating Actions			
Continuing tight budget settlements pressurising service provision			Robust budget setting process in place, clearly aligned to vision, aims and objectives of Council Adoption of evidence based approach to budget setting Regular monitoring of budgets – Revenue Account Housing Revenue Account, Capital Programme, Trading Account Regular Committee Reporting	Input to budget process – service and growth options. Robust Performance Management at all levels Development of dashboard approach Head of Service briefings post Budget Day Finance updates/decision making at SMT Monthly meetings budget holder/finance partner Availability of tools such as Collaborative Planning/BOXI to assist			

Code	Title	Risk Description	Potential Impact	Current Risk Matrix	Residual Risk Matrix	Approach	Ownership Managed By
CHI003	Risk of poor or inadequate Health & Safety arrangements	Reflects the requirement for the adoption of a robust approach to Health and Safety in relation to all our activities and their potential impact on staff, contractors and 3 <sup>rd</sup> parties alike.	Injury to or possible death of member of public, contractor or employee Damage to property, plant or equipment Criminal prosecution as result of legislative breaches Reputational damage Financial loss Increased insurance premiums Increased absence rates	 Likelihood	 Likelihood		SMT
Risk Factors			Internal Controls	Mitigating Actions			
Increase in work related injuries, Reduction in Accident/Incident reporting – increase in absences and incidence, Lack of robust monitoring and recording, Lack of awareness of injuries to staff, contractors, 3rd parties Ineffective Health & Safety training for Managers/Staff Ineffective closure of Incidents			Corporate Health & Safety Policy in place Corporate Health & Safety Improvement under development Corporate Health & Safety Audit Plan agreed Corporate Health & Safety Committee quarterly meetings Programme Health & Safety training Regular circulars issued on updates by Health & Safety team Legislative compliance (e.g. Fleet Management review, Legionella, Gas, Asbestos, CDM regulations) First Aiders, Fire Wardens identified Reporting Accidents/Incidents via YourHR, Tool Box Talks, Support of HR Business Partners in Absence Management, Schedule of Fire Risk Assessments in place, Occupational Health Provider	Service Health & Safety Policy under development, Service Health & Safety Improvement under development Service Health & Safety quarterly meetings, Development of dashboard approach Reporting Accidents/Incidents via YourHR Minutes of local Health & Safety meetings circulated to all staff Accidents/incidents reported to SMT monthly Regular liaison with HR Business Partners monitoring cases.			

Code	Title	Risk Description	Potential Impact	Current Risk Matrix	Residual Risk Matrix	Approach	Ownership Managed By
CHI004	Risk that effective work force planning is not developed and implemented	Acknowledges the importance of robust workforce planning in future proofing service planning and delivery	<p>Inability to meet service standards due to recruitment issues, long term vacancies, appointment of less experienced or trained staff.</p> <p>Increased workload for experienced staff leading to job disaffection, poor morale levels</p> <p>Skills not matched to changing needs</p> <p>Staff trained at Council expense, subsequently leaving for private sector</p> <p>Staff shortages Reputational damage</p>				SMT
Risk Factors			Internal Controls		Mitigating Actions		
Inability to recruit and retain appropriate staff to key posts due to ability of private sector to pay more competitive rates			<p>HR Policies in place relating to Work Force Planning</p> <p>Performance Review and Development</p> <p>Staff development and training</p> <p>Retraining of staff</p> <p>Apprenticeship Schemes</p> <p>Ongoing liaison with HR Business Partners Use of metrics to develop understanding of workforce issues</p>		<p>Workforce Planning key element of budget process</p> <p>Future planning and proofing</p> <p>Prioritisation</p> <p>Skills Audit</p> <p>Attendance of staff at local, national and international career fairs,</p> <p>Liaison with Further Education Centres, Oil and Gas Sectors</p> <p>Selling Aberdeen – the place</p> <p>Adoption of New Ways of Working</p> <p>Smarter Working</p> <p>Trade Union Liaison, Improved internal Communications – e-mag</p> <p>Provision of key worker accommodation</p>		

Code	Title	Risk Description	Potential Impact	Current Risk Matrix	Residual Risk Matrix	Approach	Ownership Managed By
CHI005	Risk of not effectively communicating and engaging with Customers (Stakeholders)	Recognises the need for effective dialogue between the Service and its Customers ensuring our aims and objectives continue to remain in line with the needs and expectations of our Customers	Low level customer satisfaction Mismatch in expectation levels Increased scrutiny by regulatory bodies. Reputational Damage Increased volume of complaints Resources diverted to address perceived service failures. Services fail to address customer needs	 Likelihood	 Likelihood		SMT
Risk Factors		Internal Controls			Mitigating Actions		
Inadequate engagement with customer base. Feedback from survey exercises not used to inform service design and delivery. Feedback from complaints handling not used to inform service improvements.		Corporate systems governing complaints handling Regular meetings with key stakeholder groups Involvement of stakeholders in strategy groups Performance information reported to Committee Training for front line staff Customer Feedback Surveying			Training of staff in managing customer expectations. Further development Customer surveying. Customer experience improvements (Roads/Street Lighting "bridging gap in communications") Improved awareness and understanding of customer Regular reporting of complaints to SMT encouraging 'lessons learned' Development of dashboard approach Website development		

Code	Title	Risk Description	Potential Impact	Current Risk Matrix	Residual Risk Matrix	Approach	Ownership Managed By
CHI006	Risk of not communicating and engaging effectively with Staff	Identifies the need for effective dialogue with our staff to ensure they remain engaged and committed to our aims and objectives, enhancing job satisfaction and a sense of pride in working for the organisation	Low staff morale , Staff feel disconnected, Higher absence rates, Difficulty in retaining staff, Engagement less experienced staff leading to poorer service delivery Failure to achieve goals due to lack of understanding	 Likelihood	 Likelihood		SMT
Risk Factors			Internal Controls		Mitigating Actions		
Feedback from survey exercises not used to inform staff and service development.			Regular staff updates, e-mails, bulletins, Zone, Chief Executive's Blog Staff Surveys Employee Voice Involvement of front line staff in improvement process Full consultation with staff on any changes being made Re-alignment of services to ensure clear lines of accountability and responsibility Star Awards Counselling Service staff and family		1-2-1s, PR&D Team Meetings Management team meetings Quarterly e-mag, local newsletters Zone, Website developments Development of Action/Improvement Plan following Staff Survey findings Development Director's Blog Staff Briefings, Town Hall Meetings Long Service recognition		

Code	Title	Risk Description	Potential Impact	Current Risk Matrix	Residual Risk Matrix	Approach	Ownership Managed By
CHI007	Failure to deliver Service commitments within the Business Plan including Major Projects	Acknowledges the need to ensure plans are properly scoped and costed, that progress is appropriately monitored to ensure the Council meets its aspirations and commitments	The Service/Council fails to deliver on its high level aims and objectives. Potential legal action Reputational Damage				SMT
Risk Factors			Internal Controls		Mitigating Actions		
Various specific to individual projects Political risks			Service: Operational risk registers in place Regular operational performance review – SMT, Committee, Projects: Individual Risk Register maintained for each project in SIP and Capital Programme Key and emerging risks highlighted monthly to SMT, CMT Admin Leaders Both: Public Performance Reporting		Service: Scoreboard shared Dashboard approach under development 1-2-1 Discussions Monthly reporting to SMT Service Improvement Plans Projects: Monthly reporting to SMT Regular meetings between SIP Programme Manager, Project Managers, Heads of Service Progress reported to Finance, Policy and Resources Committee		