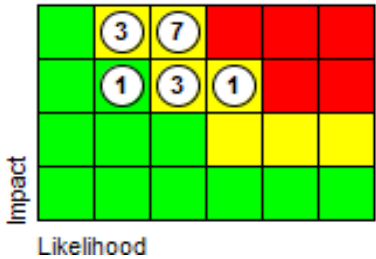
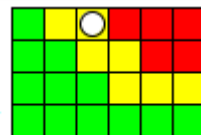



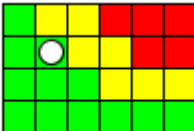
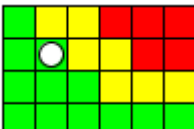
Corporate Governance Risk Register

Generated on: 03 February 2017





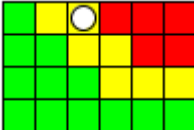
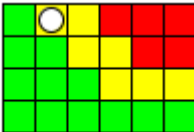
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|--|--|--|---------------------|--------|---|--|---|
| Drivers | Smarter Governance - Participation | | | | | | |
| Code | CG001 | Risk that Business Continuity Planning is not managed or tested | | | | | |
| Definition | Effective and robust Business Continuity Planning and Disaster Recovery arrangements are essential to safeguard public services and to protect communities. | | | | | | |
| Potential Impact | Causes | Control Effectiveness | | | Current Risk Assessment | | |
| | | Control | Control Assessment | Weight | | | |
| Internal: <ul style="list-style-type: none">• Inability to operate key systems (IT, Financial, HR, Legal and Commercial and Procurement.• Inadequate disaster recovery.• Inability to collect revenue• Inability to pay creditors• Reputational damage External: <ul style="list-style-type: none">• Serious harm / loss of life to members of the community.• Essential frontline services not delivered | <ul style="list-style-type: none">• Absence of effective Business Continuity Planning Policy• No clear ownership of BCPs or review by management• No review programme• No regular testing of BCPs• Inadequate disaster recovery planning across the range of Corporate Governance business critical and non-critical functions.• Disaster Recovery and BCP not adequately audited• Non-critical functions not covered by BCPs• Poor governance (committee assurance) of BCP | Clear ownership of BCPs | Fully Effective | 1 | <div>Impact</div>  | | |
| | | Quarterly review by SMT | Partially Effective | 1 | | | |
| | | Robust disaster recovery arrangements and structures in place | Fully Effective | 1 | | | |
| | | Regular Internal audit of BC Planning and Disaster recovery. | Fully Effective | 2 | | | |
| | | Annual assurance by Audit, Risk and Scrutiny Committee. | Partially Effective | 1 | | | |
| | | Suite of BCPs in place for all non-critical CG functions | Not Effective | 2 | | | |
| | | | | | Very serious | | |
| | | | | | Low | | |
| | | Mitigating Actions | | | | | Residual Risk Assessment |
| | | <ul style="list-style-type: none">• Embed BCP ownership and accountability• Implement rigorous testing regime to support continuing fit for purpose BCM• Establish quarterly reporting to SMT• Overview of critical and non-critical BCPs to be reported to AR&S• Review regime for critical BCPs to be devised. | | | | | <div>Impact</div>  |
| Very serious | | | | | | | |
| Almost Impossible | | | | | | | |

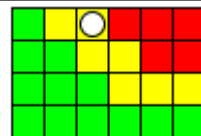
| | | | |
|--------------------|---|---------------------|---------------|
| Risk Owner | Richard Ellis | Risk Manager | Martin Allan; |
| Latest Note | <p>A Desktop testing exercise undertaken in September by the Emergency Planning Manager outlined action points to be undertaken by BCP owners. It also identified corporate actions to be undertaken by the Emergency Planning Manager. The Business Manager for CG is facilitating the progress of these actions.</p> <p>As a result of the Testing exercise 2 of the controls have increased in the level of effectiveness.</p> | | 22 Nov 2016 |

| | | | | | | | | | | |
|--|--|---|---|---------------------|--------|---|----------|--|---|--|
| Drivers | All Smarter Aberdeen priorities | | | | | | | | | |
| Code | CG002 | Risk of poor performance management structures | | | | | | | | |
| Definition | Performance management supports an effective compliance culture and change and improvement processes | | | | | | | | | |
| Potential Impact | | Causes | Control Effectiveness | | | Current Risk Assessment | | | | |
| | | | Control | Control Assessment | Weight | | | | | |
| <ul style="list-style-type: none">• Inability to measure effectiveness of impacts and outcomes• Inconsistent approach to the transformation and improvement agendas• Censure by government agencies• Reputational damage• Inability to evidence Best Value delivery• Public Performance Reporting falls short of acceptable standards• Governance –assurance and accountability absent | | <ul style="list-style-type: none">• Lack of buy-in to robust performance culture• Accounts Commission Guidelines not met• Inconsistent performance reporting framework KPIs do not support service improvements• Poor benchmarking activity• Inadequate target-setting• KPIs do not inform service improvements• Performance management is not aligned to Strategic priorities• Committees do not oversee performance management and improvement | Management buy in to performance management is embedded | Fully Effective | 1 | <div><div>Impact</div><div></div><div>Likelihood</div></div> | | | | |
| | | | Consistent corporate performance management and reporting framework embedded at all levels | Fully Effective | 1 | | | | | |
| | | | Strong benchmarking activity leading to robust target-setting | Partially Effective | 1 | | | | | |
| | | | KPIs established to support plan delivery | Fully Effective | 2 | | | | | |
| | | | 'Golden thread' ensures strategic priorities are properly measured | Fully Effective | 1 | | | | | |
| | | | Robust governance structure at committee level | Fully Effective | 1 | | | | | |
| | | | | | | | Serious | | | |
| | | | | | | | Very Low | | | |
| | | | Mitigating Actions | | | | | | Residual Risk Assessment | |
| | | | <ul style="list-style-type: none">• Implement consistent performance reporting framework covering SMT, CMT, 1-2-1 and committee levels• Embed robust performance indicator identification which supports business priorities, outcome evidencing and transformation• Establish proper sourcing of benchmarking information to support stretching targets• All service planning follows 'Golden Thread' between objectives and priorities | | | | | | <div><div>Impact</div><div></div><div>Likelihood</div></div> | |
| Serious | | | | | | | | | | |
| Very Low | | | | | | | | | | |

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|--------------------|---|---------------------|---------------|
| Risk Owner | Richard Ellis | Risk Manager | Martin Allan; |
| Latest Note | <p>The Performance Management Framework Project team have the following remit:</p> <p>The purpose of Aberdeen City Council's PMF is to:</p> <ul style="list-style-type: none"> • ensure the Council's priorities are clearly articulated and delivered through effective service planning and allocation of resources; • motivate staff by ensuring that individuals are aware of their own targets and goals and how these contribute to achieving the Council's vision; • ensure that significant risks to the achievement of objectives are identified and managed; • provide early warning, and rectification, of poor performance; • provide a strong evidence base for improved decision making; and • through all of the above, improve services and outcomes for local people. <p>The Framework is designed to make best use of all our resources in a co-ordinated way to ensure effective monitoring of priorities, resulting in better outcomes for our customers and communities.</p> <p>The Project team have met twice since September and another meeting is planned for the 12th of December. Progress has been made on a number of the above workstreams, including the issuing of service plan templates and guidance; a 3 day ECMT budget planning session to inform the service plans, the confirmation of consistent performance management across services through Committee and through 121's with Senior Management.</p> <p>Next steps include that the Project Team be permanent once the workstreams have been completed so that any future amendments can be dealt with by the Project Team who have the expertise on the Framework. It has also been agreed that improvement methodology be developed into the Framework.</p> | | 22 Nov 2016 |

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|---|--|--|--|---------------------|-------------|--|--|-------------------|
| Drivers | All Smarter Aberdeen priorities | | | | | | | |
| Code | CG004 | Risk of poor financial compliance | | | | | | |
| Definition | The Council is bound to comply with financial stewardship requirements | | | | | | | |
| Potential Impact | | Causes | Control Effectiveness | | | Current Risk Assessment | | |
| | | | Control | Control Assessment | Weight | | | |
| <ul style="list-style-type: none">• Inability to deliver essential services• Government censure• Special measures• Reputational damage• Negative financial impact | | <ul style="list-style-type: none">• Failure of council tax billing / collection• Failure of NDR billing / collection• Qualified accounts• Failure to set balanced budget• Critical financial procedures not followed | Key financial procedures adhered to | Fully Effective | 1 | <div><div>Impact</div></div> | | |
| | | | Annual corporate budget-setting process. | Fully Effective | 1 | | | |
| | | | Internal and external audit assurance | Fully Effective | 1 | | | |
| | | | Governance – assurance framework / robust delegated powers framework | Partially Effective | 1 | | | |
| | | | | | | | | Very serious |
| | | | | | | | | Very Low |
| Mitigating Actions | | | | | | Residual Risk Assessment | | |
| <ul style="list-style-type: none">• Reviewed and embedded scheme of delegation in place (Governance Review)• CIPFA FM• Financial Regulations• Governance Review | | | | | | <div><div>Impact</div></div> | | |
| | | | | | | | | Very serious |
| | | | | | | | | Almost Impossible |
| Risk Owner | Steve Whyte | | Risk Manager | | Steve Whyte | | | |
| Latest Note | The Scheme of Delegation which is being considered as part of the Governance Review, is still out for comment until late August 2016. Further developments will be recorded against this risk. | | | | | 04 Aug 2016 | | |

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|--|--|--|---------------------|--------------|---|--|
| Drivers | All Smarter Aberdeen priorities | | | | | |
| Code | CG005 | Risk of inadequate information and data management | | | | |
| Definition | The Council is required by law to evidence that appropriate management of its information and Data protection legislation binds the Council to hold data securely and only for the purpose it was collected. | | | | | |
| Potential Impact | Causes | Control Effectiveness | | | Current Risk Assessment | |
| | | Control | Control Assessment | Weight | | |
| <ul style="list-style-type: none">• Service disruption• Inadequate performance information• Inability to share services• Reduced capability to deliver customer facing services• Unlawful disclosure of sensitive information• Individual placed at risk of harm• Prosecution –penalties imposed• Reputational damage | <ul style="list-style-type: none">• Inconsistent approach to information and data management and security• Lack of capability and / or non-compliance by individuals• Lack of connectivity between corporate information management requirements• Inadequate information management systems | Establishment of comprehensive Information Governance Board | Fully Effective | 1 | <div><div>Impact</div><div>Likelihood</div></div> | |
| | | Monitoring and reporting of mandatory training and compliance exceptions | Partially Effective | 1 | | |
| | | Embedded Senior Information Risk Officer role | Fully Effective | 1 | | |
| | | Quarterly SIRO reporting to CMT | Fully Effective | 1 | | |
| | | | | | Very serious | |
| | | | | | Low | |
| Mitigating Actions | | | | | Residual Risk Assessment | |
| <ul style="list-style-type: none">• Embed SIRO role including reporting relationships and structures• Council-wide training and awareness programme• Implement Master Data Management programme• Establish comprehensive Information Governance Board• Implement Information Management Strategy programme• Establish reporting relationship between SIRO and Responsible Officer• Modernise the corporate record stores | | | | | <div><div>Impact</div><div>Likelihood</div></div> | |
| | | | | | Very serious | |
| | | | | | Very Low | |
| Risk Owner | Simon Haston | | Risk Manager | Simon Haston | | |
| Latest Note | The service now employs an Information Security Officer who is driving several areas of information governance improvements, monitored by the Information Governance Group. The IGG also reviews and inputs to the SIRO report to CMT and Audit, Risk and Scrutiny Committee. | | | | 23 Nov 2016 | |

| Drivers | Smarter Living - Quality of Life | | | | | | |
|--|--|--|---------------------|--------|--|--------------|--|
| Code | CG006 | Risk of non-compliance with health and safety management system | | | | | |
| Definition | The Council is required by law to safeguard its employees and members of the public to ensure their health and safety through effective implementation of the Health and Safety Policy. | | | | | | |
| Potential Impact | Causes | Control Effectiveness | | | Current Risk Assessment | | |
| | | Control | Control Assessment | Weight | | | |
| <ul style="list-style-type: none">• Fatality or serious injury to employee or member of the public• Corporate Health and Safety Policy breached• Increase costs due to absence levels and agency costs• Prosecution for failings (criminal)• Compensation claims (civil)• Enforcement action – cost recovery of regulator time• Poor service delivery due to high absence levels• Reputational damage | <ul style="list-style-type: none">• Lack of control management of H&S Risk• Lack of identification and completion of suitable training• Poor communication and co-ordination of H&S risk• Non-reporting and recording of incidents and near misses• Poor or no investigation resulting in identification of remedial action to prevent reoccurrence• Compliance with health and safety management system is not monitored• No realistic targets set for Improvement• Poor health and safety culture of organisation• Lack of acceptance of responsibility for health and safety through employees, managers, HOS, directors – elected members. | Plan, Do, Check, Act approach based on known risk adopted in the Health and Safety Policy | Partially Effective | 1 | <div><div>Impact</div><div>Likelihood</div></div> | | |
| | | Effective training regime in place for all key staff | Partially Effective | 1 | | | |
| | | Implemented Directorate Health, Safety and Wellbeing Improvement Plans including embedded reporting and recording arrangements | Partially Effective | 1 | | | |
| | | Corporate health, safety and wellbeing development programme contributes to a competent workforce | Partially Effective | 1 | | | |
| | | Proactive and reactive monitoring of health and safety performance management e.g. Management assurance provided via Directorates and HSW team | Partially Effective | 1 | | | |
| | | Positive H&S risk-aware culture | Partially Effective | 1 | | | |
| | | Health and Safety Committee structure in place for co-ordination and consultation process | Fully Effective | 2 | | | |
| | | | | | | Very serious | |
| | | | | | | Low | |
| | | | | | | | |
| Mitigating Actions | | | | | Residual Risk Assessment | | |

| | | | | |
|--|--|--------------|---|-------------|
| <ul style="list-style-type: none">• Ensure all incidents competently investigated• Embed regular review of risk assessments• Ensure electronic reporting consistently used• Implementation of Maximising Attendance Improvement Plan• Performance indicators used to measure implementation of improvement plan actions• Create a culture of H&S competence throughout workforce• Establish management assurance of control of risk;• Identify exact H & S training needs for every employee from job profiles;• Develop and implement electronic management system to ensure identified actions closed off; | | | <div><div>Impact</div><div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div></div><div>Likelihood</div><div>Very serious</div><div>Almost Impossible</div></div> | |
| Risk Owner | Ewan Sutherland | Risk Manager | | Mary Agnew |
| Latest Note | The H&S Management Framework Review is under way but in its early stages. The outputs of the review will continue to inform this risk. One output has found that the Plan, Do, Check control is not fully effective and has been downgraded to partially effective. The Health and Safety Committee control has been revised to a weight of 2. All other controls remain of equal weight to this risk. | | | 04 Aug 2016 |

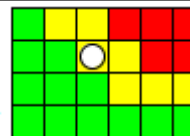
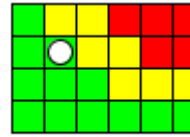
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|--|---|---|--------------------|--------|---|
| Drivers | Smarter Governance - Participation | | | | |
| Code | CG007 | Risk that legislative and policy changes are not anticipated or planned for | | | |
| Definition | The Council must be aware and plan for changes in legislation and policy and ensure that risks to functions and services are managed and opportunities seized. | | | | |
| Potential Impact | Causes | Control Effectiveness | | | Current Risk Assessment |
| | | Control | Control Assessment | Weight | |
| <ul style="list-style-type: none">• The potential impact will relate to the nature of policies or legislation on which the Council engages, or does not engage. Non compliance with legislative requirements is, clearly, highly significant legally and also potentially in terms of service to customers, reputation and finances. Opportunities to influence policy and legislation is also highly context specific in terms of impact. | <ul style="list-style-type: none">• Poor horizon-scanning• Dysfunctional relationships with legislative bodies• Absence of clear negotiation opportunities with Scottish Government over fiscal matters• Lack of robust internal communication processes• Poor strategic and service planning processes | Embedded legislation and policy tracking | Fully Effective | 1 | <div><div>Impact</div><div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></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|---|--|--|---------------------|-------------|---|
| Drivers | All Smarter Aberdeen priorities | | | | |
| Code | CG008 | Risk that workforce planning is ineffective | | | |
| Definition | The quality of the workforce is key to the delivery of high quality services and to implementing the transformation and improvement agendas. | | | | |
| Potential Impact | Causes | Control Effectiveness | | | Current Risk Assessment |
| | | Control | Control Assessment | Weight | |
| <ul style="list-style-type: none">• Service quality deteriorates• Workforce attrition• Over-reliance on agency support• Council not seen as an employer of choice.• Inability to recruit key senior managers.• Inability to deliver essential services. | <ul style="list-style-type: none">• Workforce planning is not aligned with business need• Absence of development opportunities leads to poor morale and retention deficits• Recruitment practices are flawed• Training is not aligned to business need• Knowledge capture processes not in place | Workforce Planning Strategy | Fully Effective | 1 | <div><div>Impact</div><div>Likelihood</div></div> |
| | | Workforce planning fully aligned with financial and business planning | Partially Effective | 1 | |
| | | Service workforce plans in place and fully implemented | Partially Effective | 1 | |
| | | Recruitment practices are based on sound training | Partially Effective | 1 | |
| | | PR&D process supports effective staff development | Partially Effective | 1 | |
| | | Staff turnover falls within ‘healthy’ ratio in key occupational categories | Partially Effective | 1 | |
| | | | | | |
| | | | | | Low |
| Mitigating Actions | | | | | Residual Risk Assessment |
| <ul style="list-style-type: none">• Deliver corporate overview of workforce planning focussing on established corporate actions• Build workforce planning into financial planning• Build workforce planning into business planning• Monitor completion of recruitment training for new managers• Monitor through performance management staff turnover ratio• Continue to develop and improve PR&D process.• New agency to support recruitment. | | | | | <div><div>Impact</div><div>Likelihood</div></div> |
| | | | | | Serious |
| | | | | | Very Low |
| Risk Owner | Ewan Sutherland | Risk Manager | | Mike Lawson | |

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| Latest Note | | |
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|--|--|--|---------------------|--------|---|---------|--|
| Drivers | All Smarter Aberdeen priorities | | | | | | |
| Code | CG009 | Risk of poor employee engagement levels | | | | | |
| Definition | Internal and external influences on the management of change in the delivery of services and core functions may impact negatively on workforce morale. | | | | | | |
| Potential Impact | Causes | Control Effectiveness | | | Current Risk Assessment | | |
| | | Control | Control Assessment | Weight | | | |
| <ul style="list-style-type: none">• Poor retention levels• Difficult to attract / recruit key staff• Deteriorating service quality• Increased customer complaints | <ul style="list-style-type: none">• Lack of development opportunities• Reducing financial resources – heavy workloads• Increasing customer demands – increasing workloads• Poor management / supervisory skills | Robust career progression levels | Partially Effective | 1 | <div><div>Impact</div><div>Likelihood</div></div> | | |
| | | Appropriate training modules responding to identified skills gaps through PR&D process | Partially Effective | 1 | | | |
| | | Reward system which identifies and responds positively to good achievers | Partially Effective | 1 | | | |
| | | Engagement culture focussing on inclusive approach to decision making | Partially Effective | 1 | | | |
| | | Healthy staff turnover ratio appropriate to key occupational categories | Fully Effective | 1 | | | |
| | | Strong management abilities and practices. | Partially Effective | 1 | | | |
| | | Internal comms and engagement programme | Partially Effective | 1 | | | |
| | | | | | | Serious | |
| | | | | | | Low | |
| Mitigating Actions | | | | | Residual Risk Assessment | | |
| <ul style="list-style-type: none">• 21 key occupational categories identified – services supported to manage workforce planning specific to these areas.• Reward and recognition system• Transformation engagement system re ‘good ideas’ taken forward• Training needs identified from PR&D aligned with provision and monitored for delivery• Monitor and report staff engagement levels through opinion surveying against improvement target. | | | | | <div><div>Impact</div><div>Likelihood</div></div> | | |
| | | | | | Serious | | |
| | | | | | Very Low | | |

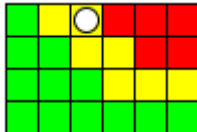
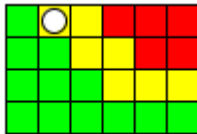
| | | | |
|--------------------|--|---------------------|-------------|
| Risk Owner | Ewan Sutherland | Risk Manager | Mike Lawson |
| Latest Note | 'Mood checks' were introduced at the last Town Hall briefing. If these continue, the output can be factored into this risk. The Employee Opinion Survey will take place in late 2016 and again will inform the effectiveness of controls on this risk. | | 04 Aug 2016 |

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|---|---|--|-----------------------|--------|--|
| Drivers | All Smarter Aberdeen priorities | | | | |
| Code | CG010 | Risk that change is not delivered or managed effectively | | | |
| Definition | The Council is committed to a culture where transformation, innovation and improvement are forefront in delivering services in a constantly changing environment. | | | | |
| Potential Impact | Causes | Control Effectiveness | | | Current Risk Assessment |
| | | Control | Control Assessment | Weight | |
| <ul style="list-style-type: none">• Strategic and service commitments not met• Poor outcomes for local people• Scarce resources used ineffectively• Firefighting required to rescue service delivery failures• Increased costs• Increased financial pres | <ul style="list-style-type: none">• Lack of support for transformation and improvement agendas• Transformation and improvement workstreams not aligned with business planning• Poor information management• Poor workforce planning• Inconsistent approach to programme management• Poor cross-service levels of understanding | Effective and dynamic leadership of a transformational and innovative culture which embraces transformational projects | Partially Effective | 1 | <div><div>Impact</div><div></div></div> |
| | | Proactive approach to change projects in the budget setting process | Partially Effective | 1 | |
| | | Information and data management supports business intelligence approach to decision making | Partially Effective | 1 | |
| | | Visionary forward planning which takes account of projected workforce and skills needs | Partially Effective | 1 | |
| | | Sound governance and structures supporting transformation | Partially Effective | 1 | |
| | | | | | |
| | | | | | |
| | | | Serious | | |
| | | | Low | | |
| Mitigating Actions | | | | | Residual Risk Assessment |
| <ul style="list-style-type: none">• Ensure all projects sit within a unified PMO governance structure• Ensure collaborative, cross-cutting delivery embedded• Ensure robust performance management of delivery established• SMT oversight of delivery• Implement change management toolkit Review of Internal Audit effectiveness | | | | | <div><div>Impact</div><div></div></div> |
| | | | | | Serious |
| | | | | | Very Low |
| Risk Owner | Richard Ellis | Risk Manager | Martin Allan; bsm bsm | | |
| Latest Note | The creation of the Transformation Delivery Board provides new focus for the Corporate Governance Directorate's role in coordinating and managing the various programmes of work which together comprise the comprehensive transformation of core services and | | | | 03 Feb 2017 |

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| | functions across the Council. These programmes are subject to risk management in their own right and the output of this approach will inform the management of this high-level risk over the coming months. | |
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| Drivers | All Smarter Aberdeen priorities | | | | | | | | | |
| Code | CG011 | Risk of poor contract management | | | | | | | | |
| Definition | An effective and properly maintained contracts register underpins good supplier management and efficient use of resources | | | | | | | | | |
| Potential Impact | | Causes | Control Effectiveness | | | Current Risk Assessment | | | | |
| | | | Control | Control Assessment | Weight | | | | | |
| <ul style="list-style-type: none">• Essential services not supported• Scarce resources inefficiently used• Duplication of effort• Negative audit outcomes• Pool of suppliers reduces• Litigation• Reputational damage• Financial targets not met | | <ul style="list-style-type: none">• Absence of properly maintained contracts register• Contract expirations not managed• Poor supplier relationship management• Poor contract management skills levels | Regularly updated contracts register | Partially Effective | 1 | <div><div>Impact</div><div><div><div><div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div></div></div></div><div>Likelihood</div></div></div></div></div></div></div></div></div> | | | | |
| | | | Delegation of powers in standing orders to ensure correct authorisation levels in place | Fully Effective | 1 | | | | | |
| | | | Contract management procedures | Partially Effective | 1 | | | | | |
| | | | Robust skills in place for contract managers including commercial awareness / understanding of framework agreements | Partially Effective | 1 | | | | | |
| | | | Focus on continuous improvement and cost reduction | Partially Effective | 1 | | | | | |
| | | | | | | | | Very serious | | |
| | | | | | | | | Low | | |
| Mitigating Actions | | | | | | Residual Risk Assessment | | | | |
| <ul style="list-style-type: none">• Identify key personnel and deliver contracts management OIL training• Ensure contracts management procedures focus on business critical contracts• Complete population of contracts database• Launch procurement website• Deliver reduction in off-contract spend• Embed HOS responsibility for contracts• Embed SMT oversight of CG contracts management | | | | | | <div><div>Impact</div><div><div><div><div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div></div></div></div><div>Likelihood</div></div></div></div></div></div></div></div></div> | | | | |
| | | | | | | | | | | Very serious |
| | | | | | | | | | | Very Low |
| Risk Owner | Craig Innes | | Risk Manager | | Craig Innes | | | | | |
| Latest Note | The Governance Review includes a comprehensive overhaul of the framework for the effective governance of our relationship with Arms | | | | | 03 Feb 2017 | | | | |

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| | Length External Organisations, These relationships are fundamentally contractual in nature. A review of ALEO Service Level Agreements and the governance structures around monitoring of ALEO performance, is under way and progress will be recorded against this risk. | |
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| Drivers | All Smarter Aberdeen priorities | | | | | |
| Code | CG012 | Risk that Strategic and Directorate Business Plan commitments are not delivered | | | | |
| Definition | The Strategic, Directorate and Team Plans set out our commitments to improved service delivery and the achievement of better outcomes in a Best Value culture. | | | | | |
| Potential Impact | Causes | Control Effectiveness | | | Current Risk Assessment | |
| | | Control | Control Assessment | Weight | | |
| <ul style="list-style-type: none">• Service delivery deteriorates• Staff are disengaged from stated commitments• Reputational damage• Resources are wasted / used ineffectively• Improved outcomes are not achieved | <ul style="list-style-type: none">• Objectives and actions are unrealistic or badly scoped• Performance measures are inadequate to evidence improved outcomes• The ‘golden thread’ is absent and required linkages are not made• Consideration of risk is not properly taken• Staff are not fully engaged with Planning• Performance management frameworks (CMT, SMT, 1-2-1, committees) do not support delivery• Transformation and innovation workstreams are not aligned with plans | Objectives are SMART | Partially Effective | 1 | <div>Impact</div>  <div>Likelihood</div> | |
| | | Performance management framework supports effective strategic and service planning | Partially Effective | 1 | | |
| | | Governance arrangements serve to maintain momentum of plan delivery | Partially Effective | 1 | | |
| | | Risk management framework is fully aligned with business planning cycle and includes clear appetite statement | Partially Effective | 1 | | |
| | | Effective employee engagement strategies in place | Partially Effective | 1 | | |
| | | Accountabilities are clear and in place and PR&D objectives are linked to strategic and service planning | Partially Effective | 1 | | |
| | | Governance arrangements serve to maintain momentum of strategic plan delivery | Partially Effective | 1 | | |
| | | | | | | Very serious |
| | | | | | Low | |
| | | Mitigating Actions | | | | |
| <ul style="list-style-type: none">• Implement consistent performance management reporting framework• Ensure all required reporting matters are covered in corporate reporting framework• Ensure ‘golden thread’ is present in all strategic planning activity and reporting• Revise risk management framework and scope risk appetite• Align PR&D objectives with strategic planning | | | | | <div>Impact</div>  <div>Likelihood</div> | |

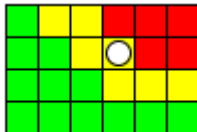
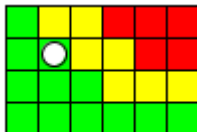
| | | | | |
|--------------------|---------------|---------------------|--------|--------------|
| | | | | Very serious |
| | | | | Very Low |
| Risk Owner | Richard Ellis | Risk Manager | CG SMT | |
| Latest Note | | | | |

| | | | | | |
|--|--|---|--------------------|--------|---|
| Drivers | All Smarter Aberdeen priorities | | | | |
| Code | CG013 | Risk that financial resources are not managed effectively | | | |
| Definition | The Council faces continuing and increasing pressure to deliver services in an environment of reducing financial resources | | | | |
| Potential Impact | Causes | Control Effectiveness | | | Current Risk Assessment |
| | | Control | Control Assessment | Weight | |
| <ul style="list-style-type: none">Major capital projects are not delivered effectivelyCapital budgets are not controlled or managed effectiveInvestment opportunities are missed.Censure by government and its agenciesReputational damageEssential service delivery jeopardised through poor management of financesStrategic Planning objectives are not achieved | <ul style="list-style-type: none">Inadequate communication between capital project management and Corporate Governance.Lack of project and risk management skills in major projects.Inadequate lead-in to capital project planning.Political influence disrupts proper capital planning over the medium term.Poor adherence to collaborative planning, budgeting and forecasting requirements.Last minute borrowing requirements mean poor investment planningInternal / external audit assurance absent.Poor governance of strategic planning by senior managers | Strong reporting framework which identifies emerging risk | Fully Effective | 1 | <div><div>Impact</div><div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><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|---|---|---------------------|-------------|---|
| <ul style="list-style-type: none">• Embed effective project management skills across the organisation• Embed Director / CE 1-2-1 process to cover all key capital projects.• Embed adequate lead-in time frame to support robust forecasting. | | | | <div><div>Impact</div><div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div>Likelihood</div><div>Very serious</div><div>Very Low</div></div></div> |
| Risk Owner | Richard Ellis | Risk Manager | Steve Whyte | |
| Latest Note | Work is underway to align with major capital project risk management with the corporate financial role. 1-2-1s between Director and HOS will include a core suite of financial indicators, which will also inform management discussions at the HOS tier. | | | |
| | | | | 04 Aug 2016 |

| | | | | | | | |
|--|---|---|---------------------|--------|---|--------------|--|
| Drivers | Smarter Mobility - Transport and ICT | | | | | | |
| Code | CG014 | Risk of major IT business systems failure | | | | | |
| Definition | Secure, well-functioning business systems are critical to carrying out statutory functions, providing essential services and ensuring legal compliance. | | | | | | |
| Potential Impact | Causes | Control Effectiveness | | | Current Risk Assessment | | |
| | | Control | Control Assessment | Weight | | | |
| <ul style="list-style-type: none">• Customers cannot contact the CCC• Essential services not delivered• Critical functions including payroll not carried out• Suppliers not paid• Contracts not managed• Workforce not managed• Reputational damage | <ul style="list-style-type: none">• Inadequate firewalls to protect internal systems from attack• System obsolescence• Power fluctuations• Communications systems failure• Inadequate backups• Poor IT skills base• Poor processes for data storage• Systems housed in poor environments | Best practice security controls | Partially Effective | 1 | <div>Impact</div> <div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div>Likelihood</div></div> | | |
| | | Regular business systems review | Partially Effective | 1 | | | |
| | | Full, maintained contracts register | Partially Effective | 1 | | | |
| | | Tested Business Continuity Plans in place | Partially Effective | 1 | | | |
| | | Robust Disaster Recovery arrangements (including testing) | Partially Effective | 1 | | | |
| | | Robust customer-led governance structures | Partially Effective | 1 | | | |
| | | IT staff trained in all essential skills areas | Partially Effective | 1 | | | |
| | | Regular business systems reviews | Partially Effective | 1 | | | |
| | | | | | | Very serious | |
| | | | | | | Low | |
| Mitigating Actions | | | | | Residual Risk Assessment | | |
| <ul style="list-style-type: none">• Upgrade of core infrastructure as part of digital strategy• Ensure application reviews and resilience testing in place• Implement new governance model for IT• Ensure total cost of ownership• Implement Best practice life cycle management | | | | | <div>Impact</div> <div><div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div><div>Likelihood</div></div> | | |
| | | | | | Very serious | | |

| | | | |
|---|--------------|---------------------|---------------|
| <ul style="list-style-type: none"> • Rationalise applications and upgrade aging systems • Ensure secure network engineering | | | Very Low |
| Risk Owner | Simon Haston | Risk Manager | Sandra Massey |
| Latest Note | | | |

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|---|--|--|---------------------|--------|--|----------|
| Drivers | All Smarter Aberdeen priorities | | | | | |
| Code | CG016 | Risk that the Council is ill-equipped to deal with a council tax increase in 2017/18 | | | | |
| Definition | | | | | | |
| Potential Impact | Causes | Control Effectiveness | | | Current Risk Assessment | |
| | | Control | Control Assessment | Weight | | |
| <ul style="list-style-type: none">• Lower collection rates.• Increased cost of recovery.• Poor media impact.• Uncertainty over Scottish Government guidance on future of council tax.• Uncertainty over alignment of council tax revenue with budget planning.• Lower grant revenue from SG.• Negative impact on local economy. | <ul style="list-style-type: none">• Council implements 3% council tax increase permitted by SG.• System challenges on managing banding changes.• Staff inexperienced in delivering council tax increase.• Inexperience in factoring additional revenue into budget forecasting. | Consultation with Scottish Government policy-makers | Partially Effective | 1 | <div>Impact</div>  <div>Likelihood</div> | |
| | | Communication with sytem suppliers | Partially Effective | 1 | | |
| | | Communication between Revenues and Benefits and Accountnacy Teams | Fully Effective | 1 | | |
| | | Communication between Services | Fully Effective | 1 | | |
| | | Performance Management monitoring on collection rates, cash collected and costs | Fully Effective | 1 | | |
| | | | | | | Serious |
| | | | | | Significant | |
| Mitigating Actions | | | | | Residual Risk Assessment | |
| | | | | | <div>Impact</div>  <div>Likelihood</div> | |
| | | | | | | Serious |
| | | | | | | Very Low |
| Risk Owner | | Risk Manager | | | | |
| Latest Note | The Revenues and Benefits Team have a risk assessed plan for the implementation of annual council tax billing 2017/18. This was updated 22/12/16 and is due for revision February 2017. It includes the following mitigating actions: Ensuring key staff have remote access (Business continuity). Monitor server cloning (Business continuity). | | | | 19 Jan 2017 | |

| | | |
|--|--|--|
| | <p>Ensure knowledge transfer for effective future planning.</p> <p>Confirm Disaster Recovery capability to take account of Revs and Bens needs.</p> <p>Confirm bulk printing capacity with Xerox and contingency at alternative site - close liaison to be maintained.</p> <p>Ensure availability of up to 20 staff at Marischal for enveloping in the event of mechanical failure at Woodhill House.</p> <p>QA of ctax banding change calculation in advance of billing.</p> <p>Full testing of new software (Academy) to take account of changes in conjunction with all relevant staff.</p> <p>(Other operational measures are in process to ensure the mitigation of this risk).</p> | |
|--|--|--|

| | | | | | | |
|---|---|---|---------------------|----------|--|--------------|
| Drivers | All Smarter Aberdeen priorities | | | | | |
| Code | CG017 | Risk that the Council does not deliver a balanced budget for 2017/18 | | | | |
| Definition | | | | | | |
| Potential Impact | Causes | Control Effectiveness | | | Current Risk Assessment | |
| | | Control | Control Assessment | Weight | | |
| <ul style="list-style-type: none">• Council fails to meet its statutory obligations.• Essential services not delivered.• Serious reputational damage.• Staff morale deficit. | <ul style="list-style-type: none">• Political failure to support properly costed affordable budget options..• Absence of a risk-based approach to growth• Lack of prioritisation• No awareness of timescales | Robust MTFP procedures | Fully Effective | 1 | <div>Impact</div>  <div>Likelihood</div> | |
| | | Effective annual corporate budget-setting process | Partially Effective | 1 | | |
| | | Effective negotiating and influencing skills in play between key managers and elected leaders | Partially Effective | 1 | | |
| | | Effective approach to costing growth and minimised underspend | Partially Effective | 1 | | |
| | | | | | | Very serious |
| | | | | Very Low | | |
| Mitigating Actions | | | | | Residual Risk Assessment | |
| <ul style="list-style-type: none">• Corporate Governance Timetable prepared• Regular budget slots at Senior Management Team meetings• Head of Service Budget Meetings included in timetable | | | | | <div>Impact</div>  <div>Likelihood</div> | |
| | | | | | | Very serious |
| | | | | | | |
| Risk Owner | | Risk Manager | | | | |
| Latest Note | Risk updated with revised mitigating actions 18/8/16. | | | | | 06 Sep 2016 |

