Corporate Risk Register

Risk Code	Risk Title	Current Risk Score	Residual Risk Score	Function	Risk Owner	Risk Manager	LOIP theme(s)
Corp001	Ensuring Financial Sustainability	12	8	Resources	Steve Whyte	Jonathan Belford	All
Corp002	Non-compliance with health and safety legislation	16	12	Governance	Fraser Bell	Colin Leaver	All
Corp003	Workforce of the Future	12	8	Resources	Steve Whyte	Morven Spalding	All
Corp004	Risk of not adequately planning for and responding to emergencies (as defined by the Civil Contingencies Act 2004) which may affect Aberdeen City and/or an incident having a significant adverse effect on the operations of Aberdeen City Council.	12	8	Governance	Fraser Bell	Dave McIntosh	Prosperous Place
Corp005	Risk that Council information is not governed and used in accordance with business need and legislative requirements.	12	8	Commissioning	Martin Murchie	Caroline Anderson	Enabling Technology
Corp006	Cyber Security threats are not adequately mitigated	12	8	Customer	Andrew Howe	Norman Hogg	Enabling Technology
Corp007	Poor performance by providers due to poor contract management	12	9	Commissioning	Craig Innes	Alison Watson	Prosperous Economy

Risk Scoring Process

In order to apply an assessment rating (score) to a risk, the council impl

ements a 4x6 risk matrix.

The 4 scale represents the impact of a risk and the 6 scale represents likelihood of a risk event occurring.

Impact   **Score**

	Score	1	2	3	4	5	6
Very Serious	4	4	8	12	16	20	24
Serious	3	3	6	9	12	15	18
Material	2	2	4	6	8	10	12
Negligible	1	1	2	3	4	5	6
Score		1	2	3	4	5	6

Likelihood

1	2	3	4	5	6
Almost Impossible	Very Low	Low	Significant	High	Very High
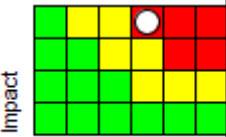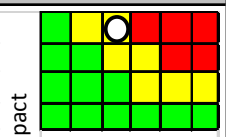
Code	Corp001	Ensuring Financial Sustainability		
Definition		**The Council must deliver significant savings over the next five years and beyond to ensure continued financial sustainability. A transformation portfolio has been established with programmes of work to align finite financial resources to desired outcomes.**		
Potential Impact		**Causes**	**Control Effectiveness**	**Current Risk Assessment**
			Control	Control Assessment	
• Failure to set a balanced budget • Continued cost pressures from current ways of working and legacy systems • Required savings not achieved • Firefighting required in year to address emerging budget issues • Spend not aligned to achievement of desired outcomes • Customer and service user dissatisfaction • Reputational damage, including adverse impact on the Council's credit rating		• Failure to update financial data timeously • Failure of programme governance • Financial resource constraints • Staff not engaged in delivering the transformation programme • Staff not held accountable for budget overspends	Regular update of Medium Term Financial Plan to quantify budget gap	Partially Effective	
			Recognition of potential future liabilities	Partially Effective	
			Programme planning and governance	Fully Effective	
			Financial monitoring and reporting	Fully Effective	
			Financial governance through the financial regulations	Fully Effective	
			Accountability framework for financial resources	Partially Effective	
					Very serious
					Low
Risk Owner	Steven Whyte		**Risk Manager**	Jonathan Belford	**Residual Risk Assessment**

| Latest Note | This risk has evolved from that previously described as "Risk that Transformation does not deliver the agreed savings target" which focussed on the delivery of the 2018/19 savings and is now largely achieved.

As the Council moves into the next phases of transformation, against a background of reducing resources and increasing demand, there is a clear need for focussed action to ensure future financial sustainability. The risk that those actions will not achieve this can never be fully negated as demand levels and available financial resources are variable. | 30 August 2018 | Impact / Likelihood |
| --- | --- | --- | --- |
| | | | Very serious |
| | | | Very Low |

Control Actions

Action 1			Progress	Original Due Date	Amended Due Date
Medium Term Financial Plan (MTFP) & Recognition of Potential Future Liabilities			80%	30 September 2018	
Description	Defined timeline in place for regular update and reporting of the MTFP to inform the transformation programme of anticipated changes to financial resources, thereby allowing the programme to be adapted quickly to changing needs.
This will include horizon scanning to identify potential future financial liabilities, with those that are certain and quantifiable included in the MTFP and where not, recognised as contingent liabilities.				
Update	The update of the MTFP for the period 2019/20 – 2023/24 is well progressed and now in the review stage.
Budget procedures are being developed which will include a timeline for regular update of the MTFP.
Existing contingent liabilities for example, Scottish Child Abuse Enquiry, are disclosed in the Council's Annual Accounts and whilst these are reviewed to ensure changing circumstances are reflected appropriately through the Council's Quarterly Financial Performance reports, it is recognised that a formal process should be in place to capture these updates as well that for the identification of any new liabilities.				
Assigned To	Sandra Buthlay				

Action 2		Progress	Original Due Date	Amended Due Date
Accountability Framework		70%	31 December 2019	
Description	Further development of the accountability framework for financial resources through job profiles and the PR&D process.			
Update	The existing PR&D process holds staff to account for all areas of work including financial management. It is recognised that the accountability framework can be further enhanced. The Core HR system includes a performance management tool which will facilitate this move with testing of this, to run parallel with the existing system, expected from March 2019. The review and update of job profiles is an action within the transformation portfolio.			
Assigned To	Morven Spalding			

Code	Corp002	**Non-compliance with health and safety legislation**			
Definition	The Council is required to safeguard its employees and members of the public which includes the effective implementation of and compliance with health and safety policies and procedures.				

Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
No effective management of health and safety leading to: • Risks not identified or controlled; • Fatality or serious injury to employee or member of the public; • Prosecution for failings (criminal) - material breach of health and safety legislation; • Compensation claims (civil); • Enforcement action – cost recovery of regulator time; • Poor service delivery due to high absence levels; • Reputational damage; • Increased costs due to absence levels and agency costs • Physical assets being unavailable for service delivery • Impact on service delivery	•Lack of clarity on health and safety roles and responsibilities; •Lack of understanding of H&S management system •Lack of compliance with H&S management system •Lack of employee involvement and joint working with Trade Unions; •Identified actions not monitored to closed out; •Poor health and safety culture of organisation.	Health and Safety Policy in place which defines roles and responsibilities and arrangements.	Fully Effective	
		Establishment of Staff Governance Committee to oversee health and safety arrangements	Fully Effective	
		Establishment of functional health and safety groups attended by Trades Unions and senior management	Fully Effective	
		Corporate Health and Safety Assessment Audit Process	Fully Effective	
		Competency of resource across the Council to fulfil legal requirements	Partially Effective	
		Health and safety development programme in place	Partially Effective	
		Assurance Framework	Partially Effective	
		Health and Safety Improvement Planning	Partially Effective	
		Culture Project – 21st Century Public Service	Partially Effective	
			Very serious	
			Significant	

Risk Owner	Fraser Bell	Risk Manager	Colin Leaver	Residual Risk Assessment
Latest Note	Updated.		30 August 2018	

		Very serious
		Low

Control Actions

Action 1		Progress	Original Due Date	Amended Due Date
Health and Safety Arrangements		50%		31-Dec-2019
Description	A review of health and safety responsibilities across the organisation will be carried out to ensure that roles and responsibilities in respect of health and safety are clearly understood and are effective.			
Update	A corporate health and safety team is in place within the new Governance Function. Health and Safety roles across the Council to interface with this corporate team which will be the source of competent advice and guidance. Employees to be involved in decisions that affect their health and safety at work. Levels of function and cluster engagement in Health and Safety will be driven through implementation of the Corporate Health and Safety Policy and related health and safety group.			
Assigned To	Colin Leaver			

Action 2		Progress	Original Due Date	Amended Due Date
Health and safety skills and training and development		10%	31-Mar-2018	31-Dec-2019
Description	Identify exact Health and Safety skills and training needs for every employee detail in skills and training matrices from job profiles			
Update	Functions require to establish a skills and training matrix for all development. These should be included in job profiles (along with health surveillance requirements), as previously highlighted Health and Safety Improvement Plans. This will cover general health and safety and role specific training to ensure employee competence. This is linked to a mandatory training programme that is being developed by CMT to cover a range of topics. This includes but is not limited to data protection, IT security, health and safety. This will form part of the People Development Circle and related Management Development Programme which includes a cultural element (21st Century Public Service).			
Assigned To	Dorothy Morrison			

Action 3		Progress	Original Due Date	Amended Due Date
Assurance Framework Review		10%		31-Dec-2019
Description	A revised Assurance Framework will be delivered that will provide reliable evidence to underpin the assessment of the risk and control environment for the Annual Governance Statement.			
Update	This will include: • Strategy and Policy Framework to ensure all policies and strategies are within a single system, updated and compliance monitored; • Include electronic system for tracking actions to close, including health and safety • Health and Safety and other risk reporting via Workplace meetings, Health and Safety Groups, Staff Governance Committee, Audit, Risk and Scrutiny Committee and Public Protection Committee;			

	• Effective proactive and reactive monitoring of health and safety performance, e.g. assurance via Functions and Corporate HS team; • Regular review of statistics and benchmarking organisations performance also against others to identify improvement areas; • Annual Governance Statement demonstrating assurance to Committee and auditors; and • Appointment to the post of Assurance Manager – resource to develop Assurance Framework.
Assigned To	Assurance Manager

Action 4		Progress	Original Due Date	Amended Due Date
Health and Safety Improvement Planning		25%	31-Mar-2018	31-Mar-2019
Description	Ensure H&S Improvement Planning supports strong H&S culture and improvement actions.			
Update	Owing to limited information on previous performance the Corporate Health and Safety Improvement plan has been reviewed in line with the LOIP and measurable targets discussed with CMT. This requires further revision before presenting proposals to the Staff Governance Committee. Implementation will require a high level of engagement from the Functions and links between a Corporate Plan and Functional Plans to be established.			
Assigned To	Colin Leaver			

Action 5		Progress	Original Due Date	Amended Due Date
Review of cyclical and statutory maintenance procedures and records		25%	01-Oct 2018	01-Oct 2018
Description	Review all activities around cyclical maintenance and compliance.			
Update	Information gathering progressing along with interviews with key officers and systems. Review of best practise elsewhere (including relevant performance measures) and review of relevant legislation and consistency with current procedure.			
Assigned To	Stephen Booth			

Code	Corp003	**Workforce of the future**		
Definition	The Council must ensure that it has a workforce that is the right size with the right skills, knowledge and behaviours it needs to maximise its contribution to the delivery of the Target Operating Model.			

Potential Impact		**Causes**	**Control Effectiveness**		**Current Risk Assessment**
			Control	Control Assessment	
• Inability to deliver BAU outcomes and Target Operating Model • Significant skills shortage • A workforce that can't adapt to new ways of working. • A workforce that does not have the competence to deliver outcomes. • Loss of business knowledge and competence as a result of VS/ER or resignations. • Workforce with the inability to change • Risks to recruitment for hard to fill posts from EU due to potential impacts of Brexit		• Lack of adequate workforce planning and succession planning, and training and development • Reliance on traditional notions of leadership - on command and control. • Staff not being properly performance managed and held to account for execution of tasks. • Absence of a young person's agenda in the Council • Staff apathy or resistance to change and transformation with no set deliverables for a change in culture • Absence of a knowledge capture culture.	Establishment Control Board maintaining oversight of recruitment and the Council's establishment list	Fully effective	
			Talent Management Programme in place to deliver next stages of Transformation including; Workforce Plan, Core HR System, Leadership and Management Capability Framework and Competency Framework	Partially effective	
			Bring about culture change which is based on a "One Team" approach regardless of position in the organisation	Partially effective	
			Cases for Change and Service Re-Design	Fully effective	
					Very serious
					Low

Risk Owner	Steve Whyte		**Risk Manager**	Morven Spalding	**Residual Risk Assessment**
Latest Note	Updated.			30 August 2018	
					Very Serious
					Very Low
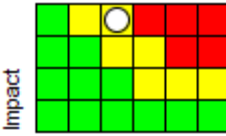
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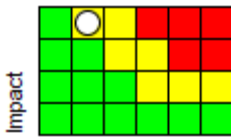
Action 1		Progress	Original Due Date	Amended Due Date
Talent Management Programme		30%	31-July-2019	
Description	A programme of work is being implemented which will include • A review of the workforce planning strategy to take into account transformation programme outcomes and to align the current and future workforce to the 21st Century Public Service. This will identify the types of skills required for recruitment and upskilling/reskilling purposes proactively. • Effective succession planning by which critical roles in the organisation will be identified to ensure that plans are in place for their successors eg head teachers, senior social workers etc. • Developing a Leadership and Management Capability Framework (linking to succession and workforce planning) to identify current gaps in the leadership and management of the organisation • Ensuring effective performance management is in place through delivery of the new CoreHR system (Human Capital Management System) to ensure accountability against set objectives. This will also include a competence framework, enabling streamlined development to ensure that skills gaps are met. • Current recruitment process and guidance will be updated to reflect the outcomes of the TOM and the type of staff we need for a future Council. The behavioural framework and values will be reviewed in conjunction to align to TOM outcomes.			
Update	The Talent Management Programme will introduce new processes, technology and understanding of a 21st century public servant. This is a large programme of work and will completely change the way the former HR service advise and support the organisation. Due to this, old ways of working are being eradicated and all projects within this scope have commenced, some more developed than others at present. The delivery timeline is realistic one to reflect the scope of work involved.			
Assigned To	Morven Spalding			

Action 2		Progress	Original Due Date	Amended Due Date
Knowledge capture procedure established for employees leaving the organisation		70%	31-Mar-2019	
Description	Knowledge capture is in progress. Process needs to be implemented to ensure all staff leaving the Council have an exit interview, that opportunities for exiting staff to mentor/coach others prior to exit are enabled and the information is used to update process/procedures where applicable.			
Update	Project in final stage for completion. To be transferred to CoreHR (Human Capital Management/HCM) then cascaded throughout the organisation			
Assigned To	Martin Murchie			

Action 3		Progress	Original Due Date	Amended Due Date
Visible Leadership		50%	31-Mar-2021	
Description	Programme of staff engagement in place and to be executed throughout the transition to full implementation of the TOM.			
Update	Meetings have been completed with the Directors to produce a core programme of activities and this has been issued to the Engagement Ambassadors for review and feedback. A steering group has been established within the Leadership Forum			
Assigned To	Dorothy Morrison			

Action 4		Progress	Original Due Date	Amended Due Date
21st Century Public Servant		10%	31-Mar-2021	
Description	Programme of work to move from a hierarchical culture to one of 'CLAN' nature whereby staff will be empowered and trusted to make decisions relating to their jobs, better take-up of smarter working and also driven by the digital enablement in the Council.			
Update	This project is being developed as part of the next stages of transformation.			
Assigned To	Martin Wyllie			

Code	Corp004	Risk of not adequately planning for and responding to emergencies (as defined by the Civil Contingencies Act 2004) which may affect Aberdeen City and/or an incident having a significant adverse effect on the operations of Aberdeen City Council.		
Definition		The Council must ensure that it puts in place adequate training, planning and testing for civil contingency events and other incidents so that it can respond to emergencies which may affect Aberdeen City and/or an incident having a significant adverse effect on the operations of the Council.		

Potential Impact		Causes	Control Effectiveness		Current Risk Assessment
			Control	Control Assessment	
The Council is unable to support or lead the response to an emergency affecting the city and/or is unable to deliver critical functions in relation to: 1. Human welfare or the environment 2. The finances of the Council 3. The Council's statutory obligations 4. The Council's reputation 5. The Council's ability to respond to emergencies (These impacts relate to both the Civil Contingencies Act 2004 and the Council's Business Continuity Planning)		• Failure to review and test our civil contingencies capacity, capability, structures and policies and plans in terms of maintaining suitable levels of resilience. • Inadequate or untrained workforce • Governance or system failure • Absence of an Assurance Framework	Duty Emergency Response Coordinator (DERC) rota to ensure a Chief Officer is always available to contribute to the Council's response to emergencies.	Fully Effective	Impact — Likelihood
			Governance structure in place to manage risks and test resilience	Partially Effective	
			Prevent and Prepare CONTEST priorities are embedded and reviewed continuously by priority owners	Fully Effective	
			Senior management review and direct actions to support the locally developed "Move to Critical Action Plan"	Fully Effective	
			Resilience training and development for key officers	Partially Effective	
			Monitoring of the preparedness of our ALEO's to support the council in responding to emergencies	Partially Effective	
					Very serious
					Low
Risk Owner	Fraser Bell		**Risk Manager**	Emergency Planning and Resilience Lead	**Residual Risk Assessment**

Latest Note	Updated.	30 August 2018

Impact / Likelihood

Very serious

Very Low

Control Actions

Action 1		Progress	Original Due Date	Amended Due Date
Monitoring of effectiveness of ALEO resilience arrangements		60%	31-Dec-2017	30-Dec -2018
Description	Require assurance from ALEOs in terms of resilience.			
Update	The Council has established an ALEO Strategic Partnership, this is an officer led forum meeting every 6 weeks. The forum is attended by Chief Officer, Finance and Chief Officer, Governance and is chaired by Chief Officer, Commercial and Procurement. ALEO Managing Directors are invited to attend. The forum has a remit covering which includes Strategic Planning and Horizon Scanning which includes resilience. There is a proposal for resilience to added to the remit of the ALEO Assurance hub when the remit of the Assurance Hub is reviewed by Audit Risk and Scrutiny Committee in December 2018.			
Assigned To	Emergency Planning and Resilience Lead			

Action 2		Progress	Original Due Date	Amended Due Date
Resilience Training		70%	31-Mar-2018	31-Oct-2018
Description	Training and exercising schedule to be approved by the Organisational Resilience Group			
Update	All Chief Officers are on DERC rota and have received training if new to roles. In addition, events such as Operation Steeple – exercise testing the Local Resilience Partnership's response to a major incident in the city centre – recently held with learning points being addressed by Council's Organisational Resilience Group. Measurements to be put in place to ensure schedule is delivered and targeted roles have attended.			
Assigned To	Emergency Planning and Resilience Lead			

Action 3		Progress	Original Due Date	Amended Due Date
CONTEST Planning		75%	31-Mar-2018	31-March-2019
Description	Implement CONTEST priorities, particularly Prevent and Prepare (generic resilience planning).			
Update	Over the two years a significant number of staff have been trained on Project Griffin / Argus. Single Points of Contact (SPOCs) are identified for PREVENT and PREPARE links heavily to the LRP plans. The Council participated in a pilot peer review of PREVENT Planning at the end of March 2018. Transfer of responsibility of CONTEST lead officer to Chief Officer Governance. Control therefore marked as partially effective until Chief Officer has reviewed arrangements against the review of the Council's Assurance Framework.			
Assigned To	Emergency Planning and Resilience Lead			

Action 4		Progress	Original Due Date	Amended Due Date
Testing of Governance Structures and Reporting Systems		75%		31-Mar-2019
Description	Governance arrangements are in place and systems are routinely tested to ensure fitness for purpose.			
Update	Currently in place: • Local Resilience Partnership (LRP) meets regularly and considers and addresses risks and resilience gaps. Local Resilience Risk Register reviewed regularly by LRP to ensure all relevant risks are captured • Local Resilience Partnership Working Group (LRPWG) manages a local risk register based on the Government Risk Register. The LRPWG and its sub-group develop and test these plans to provide control to these risks. • Resilience self-assessment tool in place, managed by Organisational Resilience Group (ORG) • ORG and LRP which meet requirements of the PREPARE strand of the Counter Terrorist Strategy (CONTEST) with the PREVENT aspect having a lead officer within the Council who attends the ORG. • LRP also develops community resilience. Control marked as partially effective until Chief Officer, Governance has reviewed the governance structure against the review of the Council's Assurance Framework.			
Assigned To	Emergency Planning and Resilience Lead			

Code	Corp005	**Risk that Council information is not governed and used in accordance with business need and legislative requirements**		
Definition	Information governance protocols and processes must provide the appropriate framework to facilitate optimum information management to support decision making and resource allocation based on a Business Intelligence culture.			

Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
• Unlawful disclosure of sensitive information • Individuals placed at risk of harm • Prosecution –penalties imposed • Council exposed to legal action • Reputational damage • Council finances jeopardised • Business Intelligence effectiveness is compromised by underlying data quality issues • Inadequate performance information • Business efficiencies not achieved • Inability to share services and information with partners • Reduced capability to deliver customer facing services • Service disruption	• Under-skilled staff / lack of capability (can't) • Non-compliance with information governance policy & procedure by individuals (won't) • Privacy and data protection by default is not appropriately considered in the design of new processes and systems • Lack of visibility and oversight of emerging information risks • Inconsistent approach to information and data governance across the Council (absence of effective embedded information governance roles, systems and processes)	Information Governance Board led by SIRO provides robust corporate oversight of information assurance arrangements.	Partially Effective	Impact / Likelihood
		Clear roles and responsibilities assigned and embedded for all staff for managing & governing information assets across the Council	Fully Effective	
		Mandatory information governance training for all staff	Fully Effective	
		Effective monitoring and reporting of corporate and information asset level information governance arrangements is in place.	Fully Effective	
		Clear systems and processes in place for ensuring appropriate management, governance and use of information designed and implemented within BAU and change management processes.	Fully Effective	
		Data Protection Officer directly influences information governance.	Fully Effective	
				Very serious
				Low

Risk Owner	Martin Murchie	**Risk Manager**	Caroline Anderson	**Residual Risk Assessment**
Latest Note	Controls reviewed, revised and updated to reflect closure of GDPR readiness programme and transition to business as usual arrangements for new compliance environment.		30 August 2018	Impact / Likelihood
				Very serious
				Very Low

Control Actions

Action 1		Progress	Original Due Date	Amended Due Date
Information Governance Board		25%	August 2018	November 2018
Description	Review the information governance group terms of Reference under the new SIRO and TOM function leads			
Update	Consolidate within newly agreed Enterprise Architecture governance and approvals model			
Assigned To	Caroline Anderson			

Action 2		Progress	Original Due Date	Amended Due Date
Information Asset Level Monitoring & Reporting Arrangements		70%	N/A	December 2018
Description	System for assurance around the governance and use of all information assets			
Update	Framework established, training delivered, roles embedded. First round of regular assurance statements from Information Asset Owners October – November 2018. Resulting exceptions managed through BAU monitoring framework. Test and review assurance system for exceptions for control to be 100% .			

Assigned To	Caroline Anderson			

Action 3		Progress	Original Due Date	Amended Due Date
Data Protection Officer		50%	N/A	December 2018
Description	Establishing new data protection officer post as part of structure redesign in order to meet new statutory obligation.			
Update	Job description and evaluation in place. Business case to be agreed.			

Assigned To	Caroline Anderson			

Code	Corp006	**Cyber Security threats are not adequately mitigated**		
Definition		Cyber Security threats must be mitigated to protect the Council, its essential functions and customer data		

Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
• Service disruption • Council finances jeopardised • 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	• Lack of oversight of Cyber Security threats. • Inconsistent approach to security across the Council. • Insider threats not identified. • Lack of capability and / or non-compliance by individuals • Human Error • Absence of adequate preventative measures to mitigate against known outsider cyber threats. • Continuous new and emerging cyber threats (so-called day zero attacks) • Absence of corporate protocols when acquiring or changing system solutions so that Cyber Resilience is not built in. • Absence of adequate preventative measures to mitigate insider threat including physical and system security. • Insider threat not properly managed through recruitment and line management	Recommended gateway and End Point tools in place.	Fully Effective	
		Adequate use of anomaly reporting and behaviour analysis.	Not Effective	
		Implementation of Protective Monitoring	Fully Effective	
		Information Governance Board led by SIRO provides robust corporate oversight of information assurance arrangements.	Partially Effective	
		Effective information management and security training and awareness programme for all staff.	Fully Effective	
		Critical systems risk assessed and protected appropriately	Partially Effective	
		Password security controls in place	Fully Effective	
		Restricted access for key personnel to secure facilities	Partially Effective	
		Fit for Purpose Identity Management System (IDM)	Partially Effective	
		Robust Cyber Security incident management procedures.	Partially Effective	
		Consolidation of IT and data related activities corporately within IT and Transformation Service.	Partially Effective	
		Appropriately secured links to all third parties with whom we connect.	Fully Effective	

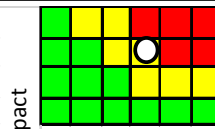|		processes. • Lack of appropriate 'tools' or inadequate use of tools to detect and prevent Cyber Threats. • Lack of resource to investigate events or deal with incidents. • Budgetary constraints. • Lack of appreciation around the threats of extension into the Cloud. • Lack of appreciation around the threats of extension of the Internet of Things. • Lack of appreciation around the threats introduced by BYOD.	Sufficient staff or resource to investigate events of significance.	Partially Effective	
			Budget in place to support protection.	Not Effective	
			Continual assessment of new and emerging threats.	Fully Effective	
			Annual IT Health Check performed	Fully Effective	
					Very serious
					Low
Risk Owner	Andrew Howe		**Risk Manager**	Norman Hogg	**Residual Risk Assessment**
Latest Note	Action 1: Review of our Network Management and Monitoring Systems is now underway. Action 3:'Cyber Security Action Plan' continues and has moved from 67% to 85% complete. Our Cyber Essentials Plus assessment took place in July and the Council has achieved certification. A response has been sent back to a request by the Scottish Government progress on the Cyber Resilience Action Plan. Action 4: Now complete and can be removed.		30 August 18		
					Very serious
					Very Low

Control Actions
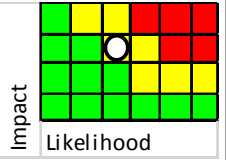
Action 1		Progress	Original Due Date	Amended Due Date
Service redesign1		50%	31-Mar-2018	30-Sep-2018
Description	Investigate methods of, and tools to aid in, identifying and responding to indications of anomalous behaviour.			
Update	Identity Access Management and 0365 projects are currently under way. Investigation of other tools such as Security Information and Event Management(SIEM), Cloud Access Security broker(CASB) and monitoring and alerting systems is required. Review of our Network Management and Monitoring Systems is now underway.			
Assigned To	Norman Hogg			

Action 2		Progress	Original Due Date	Amended Due Date
Service redesign2		80%	31-Mar-2018	30-Sep-2018
Description	Identification and recording of Critical Business Systems and assurance that these are or will be included in department BCP plans.			
Update	Audit report on major IT Business Systems was reported to Audit, Risk and Scrutiny Committee February 2018. We now have a dedicated resource allocated 2 days per week to move this to completion. Item 2.2.11 in the audit report has now been marked as complete by Audit due to sufficient action being taken. Work is ongoing although there is a risk that the amended due date may not be met.			
Assigned To	Norman Hogg			

Action 3		Progress	Original Due Date	Amended Due Date
System security1		85%	30-Jun-2018	31-Oct-2018
Description	Cyber Resilience action plan			
Update	Necessary information has been received from the Scottish Government and work has commenced. Pre-assessment being organised. Pre-assessment complete and we have been advised we would pass the official Cyber Resilience assessment (CE) and most likely the more advanced Cyber Essentials Plus assessment (CE+). It is in plan to be officially assessed against CE+ in June.			

	Amended due date is so that we can complete implementation of the other aspects of the Cyber Resilience action plan. The Scottish Government have now issued their draft 'Supply Chain Cyber Security Policy' which is currently being reviewed by ICT Security and Procurement for comment by Monday 30th April. Extensive comments on the 'Supply Chain Cyber Security Policy' have been returned to the Scottish Government. The Cyber Essentials Plus assessment took place in July and the council have achieved both the Cyber Essentials and Cyber Essentials Plus certification.
Assigned To	Norman Hogg

Code	Corp007	**Poor performance by providers due to poor contract management**		
Definition	There is a need to have effective contract management across the Council, undertaken by skilled staff working and working to a consistent and proportionate model.			

Potential Impact		*Causes*	**Control Effectiveness**		**Current Risk Assessment**
			Control	Control Assessment	
• *Services are not delivered in line with Council requirements and specifications.* • *Savings targets not met/efficiencies not realised.* • *Reputational damage.* • *Disputes/Litigation.* • *Inability to manage market/respond to urgent issues.* • *Negative audit outcomes.* • *Poor supplier relationship management.* • *Poor performance by the provider.* • *Difficulties in dealing with changes and issues arising throughout the contract.*		• Poor contract management skill levels. • Officers not robustly or properly contract managing. • Poor co-design of the specification initially. • Lack of market management resulting in limited range of providers. • Lack of clarity on who is responsible for contract management. • Lack of awareness in the organisation of the importance of robust contract management. • Dissipated contract management capacity across the Council. • Absence of a properly maintained contracts register. • Contract expectations not being monitored and managed.	Social Care Contracts and Commissioning Team has a contract management framework, including detailed contract monitoring procedures.	Fully Effective	
			ACC Procurement Regulations – Regulation 13.1 – 13.3 set requirements in relation to contract management.	Fully Effective	
			Implementation of effective contract management procedures across the organisation clearly stating the need for proper contract administration, relationship management and review of contract performance.	Partially Effective	
			Ensuring that contract managers have effective contract management skills and they have full training where pertinent on the Councils internal procurement regulations.	Partially Effective	
			Clarity on who is the contract manager for a particular contract. Bring together our contract management capability consistent with creating a commissioning Council.	Partially Effective	
			Ensuring that consideration is given to how performance will be monitored e.g. outcomes and KPIs, as part of the co-development of specifications.	Partially Effective	
					Serious
					Significant
Risk Owner	Craig Innes		**Risk Manager**	Alison Watson	**Residual Risk Assessment**

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Latest Note		7 September 2018	

Impact / Likelihood

Serious

Very Low

Control Actions

Action 1	Progress	Original Due Date	Amended Due Date
To implement an effective contract management process across the Council.	30%		End Dec 18

Description	Implementation of effective contract management process across the Council requiring proper contract administration, relationship management and review of contract performance ensuring that the service provided by the provider is in accordance with the agreed quality standards, KPIs/outcomes and finances.
Update	It is recognised that the current contract management process needs updating to reflect best practice. Accordingly, a "Think-Tank" is being set up to bring together key officers to look at how the Council can develop and implement an effective contract management process. A new Contract Management guide will be produced for Aberdeen City Council. This will be co-developed with existing contract managers from across the Council. Thereafter to be shared with Commissioning SMT and agreed by CMT. It is intended that the launch of a new Procurement Manual will take place by 30 September 2018 and will incorporate a contract management section.
Assigned To	Alison Watson

Action 2	Progress	Original Due Date	Amended Due Date
Developing our Contract Management Capability	40%		End Dec 18

Description	Ensuring that contract managers have effective opportunities to learn and develop robust contract management skills. Identify key personnel and deliver contracts management OIL training as well as face-to-face sessions on contract management.
Update	• E-learning and training packs to be developed. • Training dates and programme require to be scheduled over the next 6 months. • Training aligned to best practice guidance from Scotland Excel. The E-learning module is being prioritised. Discussions have taken place with Scotland Excel regarding provision of a training session for C&PSS and Service Contract Managers.
Assigned To	Sylvia Beswick

Action 3		Progress	Original Due Date	Amended Due Date
Bring together capacity and ensure identifying assigned contract managers		30%		End Dec 18
Description	Consolidate current contract management capability where appropriate and clarity who is the contract manager for a particular contract.			
Update	Using the Contract Register and information on expenditure, individuals will be identified and allocated to the management of specific contracts. Where appropriate it may benefit the Council if we consolidate current contract management capacity consistent with implementation of the TOM. This will also be addressed for new procurements within the Procurement Manual – in the strategy/planning phase, Service identifies lead officer and they then need to ensure compliance with the Manual actions and undertake the e-learning module.			
Assigned To	Craig Innes			

Action 4		Progress	Original Due Date	Amended Due Date
Detailed contract management plans prior to tendering		70%		Ongoing
Description	Ensuring that contract management plans are drawn up in advance of going out to tender setting out how the obligations of all parties should be met and establishing the performance measures such as cost/value obtained, performance and customer satisfaction, delivering improvement outcomes. Performance measures selected and set out in the contract must offer clear and demonstrable evidence of the success (or otherwise) of the contract. Once chosen, the requirements underpinning the performance measures should be the primary focus for contract management. The specifications need to outline the performance framework around improving outcomes for the customer.			
Update	A requirement for a Business Case for expenditure above £50,000 (goods and services) and £250,000 (works) has recently been introduced. Part of the Business Case for each contract requires consideration to be given of performance measures which shall be monitored as part of the contract management for a contract. Further work will be undertaken with Services to address the importance of this in contract planning and to review the process after the September 18 cycle.			
Assigned To	Sylvia Beswick			