

Customer Experience Cluster

Code	CEXP001	Customer Experience Service Delivery		
Definition	Risk to delivery of key front-line services in the event of failures of systems or processes			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	

Customer Risk Register by Cluster

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

Risk Code	Risk Title	Current Risk Score	Residual Risk Score	Cluster	Risk Owner	Risk Manager	LOIP Themes
CEXP001	Customer Experience Service Delivery	16	12	Customer Experience	Jacqui McKenzie	Wayne Connell Allan MacCreadie Lucy McKenzie Marion Philip Bruce Reid	Prosperous People
DT001	Digital and Technology Service Delivery	16	12	Digital & Technology	Andrew Howe	Norman Cook Steve Robertson Chris Sellar	Enabling Technology
DT002	Delivery of CoreHR System	16	12	Digital & Technology	Andrew Howe	Tanya Young	Enabling Technology
EICE001	Universal Credit	16	12	Early Intervention & Community Empowerment	Derek McGowan	Derek McGowan	Prosperous People

<ul style="list-style-type: none"> - Failure to deliver statutory services - Customers unable to access services - Health, wellbeing and safety of customers impacted - Inability to deliver KPIs/ Service Delivery Targets - Loss of income - Reputational damage 	<ul style="list-style-type: none"> - System failure - Lack of robust control measures, e.g. Business Continuity plans - Not maintaining skillset 	Implementation of robust Business Continuity Plans	Partially Effective	<p>Impact Likelihood</p> <p>Very Serious Significant</p>
		Ongoing testing of existing Disaster Recovery Contract for Community Alarm Service	Fully Effective	
		Effective Disaster Recovery arrangements in place to ensure full requirements of Community Alarm service is met.	Partially Effective	
		Effective local administration of key systems for which the Customer Experience cluster is responsible for.	Partially Effective	
Risk Owner	Jacqui McKenzie	Risk Manager	Wayne Connell Allan MacCreadie Marion Philip	Residual Risk Assessment
Latest Note				<p>Impact Likelihood</p> <p>Very serious Low</p>

Control Actions

Action 1		Progress	Original Due Date	Amended Due Date
Review of existing Business Continuity Plans		20%	January 2019	
Description	Undertake review of existing business continuity plans, ensuring the inclusion of all new business areas aligned to Customer Experience through the implementation of the interim structure.			
Update	Customer Experience Management Team have been tasked with reviewing and updating their existing Business Continuity Plans.			
Assigned To	Wayne Connell, Allan MacCreadie, Marion Philip			

Action 2		Progress	Original Due Date	Amended Due Date
Establish Business Continuity Plans for new Service Areas		20%	February 2019	
Description	Develop robust business continuity plan for new service areas (Business Services and Customer Feedback & Development)			
Update	Initial capture of existing business continuity arrangements has been undertaken as part of the analysis of the implementation of Business Services. The next step will be to undertake detailed analysis of existing arrangements, identify gaps and consolidate into a single Business Continuity Plan. An initial draft will be available by the end of December 2018 and a finalised plan by the end of February 2019.			
Assigned To	Bruce Reid, Lucy McKenzie			

Action 3		Progress	Original Due Date	Amended Due Date
Regional Communications Centre Disaster Recovery Arrangements		50%	September 2019	
Description	<ul style="list-style-type: none"> Comprehensive review of disaster recovery arrangements, to ensure service requirements are fully met. Ensure continuity of a disaster recovery service. 			
Update	The existing contract expires in September 2019. A procurement will therefore be undertaken to ensure continuity of a disaster recovery service.			
Assigned To	Allan MacCreadie			

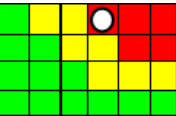
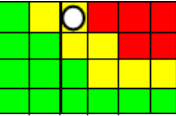
Action 4		Progress	Original Due Date	Amended Due Date
Effective local administration of systems		70-80%	October 2019	

Description	Implement effect local administration of systems 'owned' by the Customer Experience cluster, ensuring maintenance of the required skillset to support / administer ICT applications.
Update	Maintenance and downtime is planned and effectively communicated to ensure impact on service is minimised Effective system administration to maintain the security and access to all systems / applications.
Assigned To	Wayne Connell

Assurance Actions

Action 5	Progress	Original Due Date	Amended Due Date
Assess effectiveness of existing and new Business Continuity Plans		October 2019	
Description	Implement an annual test plan to assess the effectiveness of all Business Continuity Plans.		
Update	Existing plans have been updated to incorporate the lessons learned from tests undertaken to date. The next step will be to put in place an updated annual test plan in light of the alignment of new services to the Customer Experience cluster.		
Assigned To	Wayne Connell, Allan MacCreadie, Lucy McKenzie, Marion Philip, Bruce Reid		

Digital and Technology Cluster

Code	DT001	Digital & Technology Service Delivery		
Definition	The impact of IT service disruption on the ability of the Council to deliver key services to customers.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> • Service disruption • Health, wellbeing and safety of customers impacted • Impact on Council finances • Unintended disclosure of sensitive information • Reputational damage 	<ul style="list-style-type: none"> • Loss of Core Data Network • Loss of Core IT Infrastructure • GCSX termination date not met (March 2019) • Continued use of Windows Server 2008/Windows 7 beyond End of Life (January 2020) • PSN accreditation not awarded • Unsupported software • Move to external cloud-based services 	Design and delivery of a resilient Core Data Network	Fully Effective	 Likelihood
		Secure and effective provision of Core IT Infrastructure e.g. Servers/Data Storage	Fully Effective	
		Removal of GCSX Domain	Partially Effective	
		Decommission Operating Systems prior to official "End of Life" date.	Partially Effective	
		Ensure Software applications are continually patched	Partially Effective	
		Achieve PSN accreditation	Partially Effective	
		Cyber Essentials Plus accreditation	Fully Effective	
		Identity management and anomaly detection	Partially Effective	
		Significant		
Risk Owner	Andrew Howe	Risk Manager	Norman Hogg	Residual Risk Assessment
Latest Note				 Likelihood
				Very serious
				Low

Control Actions

Action 1		Progress	Original Due Date	Amended Due Date
Removal of GCSX and introduction of forced TLS and O365 Secure Email		50%	28 March 2019	
Description	In March 2019 the gcsx.gov.uk domain will be removed from service. Aberdeen City Council, at the time of writing this assessment, continues to rely heavily on that domain. Work must be done before that date to remove all use of the domain.			
Update	Risk assessment completed. Prerequisites for TLS almost complete. O365 project ongoing. Project will pick up pace from September.			
Assigned To	Norman Hogg			

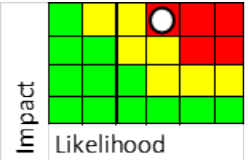
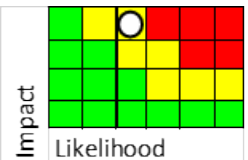
Action 2		Progress	Original Due Date	Amended Due Date
Decommission of Windows Server 2008/Windows 7 from the estate		10%	31 December 2019	
Description	The Windows Server 2008/Windows 7 operating system will become End of Life on January 14th 2020. After this date Microsoft will issue no new patches and over time the council will be at greater risk.			
Update	Risk assessment completed. We have 60 servers to upgrade and a large number of End User Devices to upgrade. Work has started.			
Assigned To	Steven Robertson, Chris Sellar			

Action 3		Progress	Original Due Date	Amended Due Date
Achieve PSN accreditation		70%	31 December 2018	
Description	Issues found during the annual ITHC that are deemed significant may prevent Aberdeen City council from achieving PSN compliance. Non-accreditation may cause operational issues for the council in relation to working with some of our critical partners.			
Update	Risk assessment completed. We are currently not accredited but are just about to submit this year's accreditation information.			
Assigned To	Norman Hogg			

Action 4		Progress	Original Due Date	Amended Due Date
Ensure Software applications are continually patched		30%	31 st October 2019	

Description	There are thousands of software items in use across the council. Over time the suppliers cease support, upgrade versions or issue patches and unless we are aware of the changes and take corrective action it has the possibility to lead to operational issues.
Update	<p>We are continuing to develop and update our software catalogue.</p> <p>We have a robust approval process and checking of any new software.</p> <p>Our Annual IT Health Check vulnerability assessment will indicate the current patching status of software applications - these will be prioritised, and appropriate corrective action taken.</p>
Assigned To	Norman Hogg

Action 5	Progress	Original Due Date	Amended Due Date
Move to external cloud-based services	20%	31 July 2019	
Description	As services move out to the Cloud the risks to data increase as we can no longer maintain a security boundary and have reduced visibility into what happens. It is essential that a sound Identity Access Management System (IADM) is put in place combined with role-based access and that anomalous behaviour is identified and investigated.		
Update	Although we have an Identity Management Project ongoing this is not yet implemented which adds risk to any data we store in the cloud. Anomalous behaviour analytics should be built in as part of the IADM solution and O365 solution as it is rolled out.		
Assigned To	Norman Hogg		

Code	DT002	Delivery of CoreHR system		
Definition	Inability to deliver the CoreHR system within agreed timescales			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> - Non-payment or incorrect payment of Council employees and other external parties processed by ACC - Potential service disruption - Health, Wellbeing and Safety of Customers - Reputational damage - Impact on People and Organisation services and processes 	<ul style="list-style-type: none"> - Extension to User Acceptance Testing - Required system functionality not available/delivered within timescales - Issues raised during User Acceptance Testing cannot be easily resolved - Delay to parallel run - Issues raised during parallel run cannot be easily resolved 	Robust governance arrangements	Partially Effective	 <p>Very Serious Significant</p>
		Business Continuity Plans	Partially Effective	
		Regular communication and review meetings with supplier	Partially Effective	
		Effective and efficient UAT & parallel run process	Partially Effective	
		Effective and efficient management of issues arising from UAT & parallel run	Partially Effective	
Risk Owner	Andrew Howe	Risk Manager	Tanya Young	Residual Risk Assessment
Latest Note				 <p>Very Serious Low</p>

Control Actions

Action 1		Progress	Original Due Date	Amended Due Date
Efficient and effective User Acceptance Testing		50%	30 November 2018	
Description	UAT Exit Criteria defined to provide a quality gate to assess the Council's readiness to exit UAT. Effective and efficient management of issues arising from UAT.			
Update	UAT extended from original project timescales. Further detailed analysis undertaken to determine workplan to successfully complete UAT.			
Assigned To	Tanya Young			

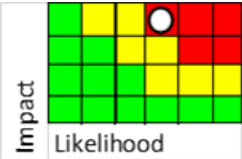
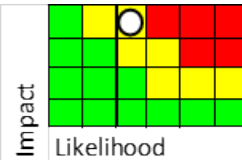
Action 2		Progress	Original Due Date	Amended Due Date
Ensure effective and efficient process for Parallel Run.		20%	28 February 2019	
Description	Parallel Run Exit Criteria defined to provide a quality gate to assess the Council's readiness to exit Parallel Run. Effective and efficient management of issues arising from Parallel Run.			
Update	This cannot start until we run the reconciliation reports following running payroll in both system during Parallel Running.			
Assigned To	Tanya Young			

Action 3		Progress	Original Due Date	Amended Due Date
Robust governance arrangements		80%	30 November 2018	
Description	The project requires effective governance and Project Management controls in place to ensure successful delivery.			
Update	A Project Board is in place to take required decisions and provides an escalation point for risks and issues. Highlight Reports are sent to stakeholders each month. The Project Team is formed by representatives from HR, Payroll, Finance & IT and is being led by the lead role within the respective function to ensure quality delivery. Communication and Training activities are coordinated by members of the team with specialist knowledge. Review of governance arrangement following appointment of Chief Officer Organisational Development.			
Assigned To	Tanya Young			

Action 4		Progress	Original Due Date	Amended Due Date
Business Continuity in place		20%	28 February 2019	

Description	An extension to the contracts with the legacy system suppliers will be required - currently in place till March 2019 (PSe,OpenOptions and YourHR).
Update	A discussion with legacy system suppliers to be organised to look at option of potential extensions of contracts.
Assigned To	Tanya Young

Early Intervention & Community Empowerment Cluster

Code	EICE001	Universal Credit		
Definition	Universal Credit full roll out may reduce tenancy sustainment and increase rent arrears and homeless applications.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<ul style="list-style-type: none"> • Increase in rent arrears levels in HRA and Temporary Accommodation • Reputational damage if wrong decisions are made • Customer satisfaction levels decrease • Improvements made in the homeless journey cannot be maintained • Pressure on Council Housing stock • Negative impact on household finances • Negative impact on health and wellbeing of tenants due to financial pressure • LOIP objectives not met • Increase in homelessness presentations • Impact on HRA fund including availability of Capital 	<ul style="list-style-type: none"> • Full roll out of Universal Credit on 31st October 2018 • Time taken for void properties to be turned around • Increase in waiting periods for benefits to be received • Some tenants may elect not to have their benefits paid directly to ACC as landlord 	Ongoing work with City partners and DWP to plan for full roll out	Fully Effective	
		Training package for ACC staff including Housing, Housing Support, Revenue and Benefits	Fully Effective	
		Voids Performance Meetings to improve performance.	Partially effective	
		Rent Management Policy refreshed	Partially effective	
				Very Serious
				Significant
Risk Owner	Derek McGowan	Risk Manager	Neil Carnegie	Residual Risk Assessment
Latest Note				

			Very serious
			Low

Assurance or Control Actions

Action 1		Progress	Original Due Date	Amended Due Date
Ongoing work with City partners and DWP to plan for full roll out		75%	30/10/18	
Description	Long term work as subgroup of Welfare Reform Board, planning actions required to ensure ACC and tenants are prepared for the full roll out on 31/10/18. This has included researching best practice from other authorities and regular meetings with DWP colleagues to ensure we are fully aware of developments. Advice leaflet developed and distributed, copies available at a number of sites across the city.			
Update				
Assigned To	Angela Kazmierczak, Doug McKenzie			

Action 2		Progress	Original Due Date	Amended Due Date
Training package for ACC staff including Housing, Housing Support, Revenue and Benefits		75%	30 October 2018	
Description	Training package developed and currently being delivered to staff across ACC. Briefings also delivered to Councillors.			
Update				
Assigned To	Angela Kazmierczak, Doug McKenzie			

Action 3		Progress	Original Due Date	Amended Due Date
Schedule of meetings to scrutinise performance and agree actions to reduce number of void properties.		50%	31 March 2019	

Description	Monthly meetings to scrutinise performance in void management. There has been an increase in void properties, due in part to an increase in terminations and delay in the availability of staff to undertake specific property repairs / improvements.
Update	
Assigned To	Neil Carnegie

Action 4	Progress	Original Due Date	Amended Due Date
Refresh of rent management policy	80%	31 October 18	
Description	Work has been ongoing on refreshing the rent management policy to ensure where arrears are evident a person centred, sympathetic approach is taken to managing the level, on a case by case.		
Update			
Assigned To	Neil Carnegie		