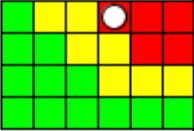
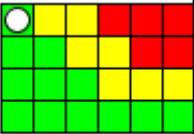


Code	Corp012	Risk of non-compliance with Statutory Compliance with Council properties.		
Definition	The Council is required by law to safeguard its employees and members of the public to ensure their health and safety through effective implementation statutory maintenance and compliance checks such as asbestos management plans, gas safety certification legionella testing etc.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Assessment	
<p>No effective management of building and property management leading to:</p> <ul style="list-style-type: none"> • 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; • Reputational damage; 	<ul style="list-style-type: none"> •Lack of visible active health and safety leadership; •Lack of ownership and accountability for statutory compliance. •Lack of appropriate controls; •Lack of access to (and following) competent advice •Lack of upward and downward communication; •Lack of identification of and completion of suitable training to ensure competent employees; •Inadequate statutory compliance management system; •Compliance with statutory compliance is not monitored, reported or actively reviewed; •Poor health and safety culture of organisation; 	Statutory compliance policy in place which defines roles and responsibilities and arrangements;	Partially Effective	 <p>Impact</p> <p>Likelihood</p>
		Sufficient resource in place across the Council to fulfil legal requirements	Partially Effective	
		Regular management meetings to discuss compliance	Partially effective	
		Regular Monthly meetings with contractors to review compliance with contract.	Partially Effective	
		Suite of KPI's in some areas	Partially Effective	
				Very serious
				Significant
Risk Owner	Stephen Booth	Risk Manager		Residual Risk Assessment

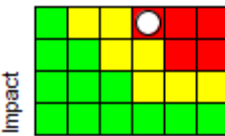

Appendix A – Corporate Landlord Risk Register

Latest Note	A full review of statutory compliance and procedures has been initiated. Initial findings suggest investment in IT resource and inspectors required.	January 2019	 <p>Impact</p> <p>Likelihood</p> <p>Very serious</p> <p>Very low</p>
--------------------	--	--------------	---

Control Actions

Action 1	Progress 80%	Original Due Date 1 st October 2018	Amended Due Date 31 March 2019
Description	Initial review of documentation procedure		
Update	All interviews concluded and organogram available. Review of IT requirements and solutions under review.		
Assigned To	Stephen Booth		

Appendix A – Corporate Landlord Risk Register

Code	CL02	Risk to the delivery of Capital and Revenue Income		
Definition	The Cluster has income targets around capital and revenue income.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Effectiveness	
<p>Poor management of income will create financial pressure within service and across the council. The cluster has 5 yearly income targets for capital sales. The cluster collects over £6 million per annum in commercial rents and further £3million from Common Good. The Marischal Square development requires to be managed and rent collected. The council have a liability for Head Lease payments. New AECC has significant income stream and land with development potential. Reputational risk around realising rental incomes.</p>	<ul style="list-style-type: none"> Income influenced by macro and micro economic conditions. Timing to conclude transactions Lack of information and understanding of management requirements at project initiation and development stage Lack of process around asserts being declared surplus. 	Staff have appropriate training, qualifications and engage with market and like professionals.	Partially effective	 <p>Likelihood</p>
		Regular marketing and income meetings.	Partially effective	
		Use of external agents where appropriate	Partially effective	
		Revised surplus procedure to streamline process	Partially effective	
		MSQ project has built in initial contingency.	Partially effective	
		Partnership arrangements in a number of areas to reduce risk, introduce experience.	Partially effective	
				Very serious
				Significant
Risk Owner	Stephen Booth	Risk Manager		Residual Risk Assessment
Latest Note	Updated.		January 2019	 <p>Likelihood</p>
				Very Serious
				Very Low

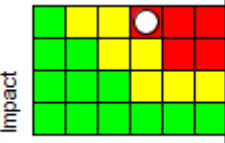
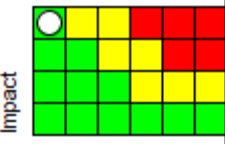
Appendix A – Corporate Landlord Risk Register

Code	CL03	Risk around delivery of asset valuation		
Definition	Risk of failure to complete the asset valuation which is required for the council financial accounts purposes.			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Effectiveness	
Council accounts are not signed off Reputational Damage Significant costs in outsourcing works	<ul style="list-style-type: none"> • Inadequate resource around project delivery • Lack of management of process and reporting. • Maintain RICS, Valuer Registration status for sign off • Failure to recruit and retain staff 	Resource plan developed on annual basis although there are vacant posts	Partially effective	
		Regular meetings with finance team	Partially effective	
		Staff CPD and training	Partially effective	
				Very serious
				Significant
Risk Owner	Stephen Booth	Risk Manager		Residual Risk Assessment
Latest Note	Updated.		January 2019	
				Very serious
				Very low

Control Actions

Action 1	Progress	Original Due Date	Amended Due Date
Description	Delivery programme developed		
Update	ongoing		
Assigned To	Neil Strachan		

Appendix A – Corporate Landlord Risk Register

Code	CL04	Risk of inadequate Asset management planning		
Definition	The cluster has a risk that resources have not been allocated appropriately and efficiently if asset management plan are not in place and robust			
Potential Impact	Causes	Control Effectiveness		Current Risk Assessment
		Control	Control Effectiveness	
<ul style="list-style-type: none"> Asset unable to meet service and customer requirements. Assets unable to meet statutory responsibilities. Asset unable to match with legal and other agreements Resources directed in wrong areas Reputational damage Unable to meet Housing Revenue Account regulatory requirements Poor policy and decision making Unable to deliver transformational savings and service improvements 	<ul style="list-style-type: none"> Lack of up to date asset management plans Assets managed differently in a number of areas (ALEO'S, third sector, education estates etc. Lack of co-ordination with other public sector providers. Lack of resource and appropriate skills. Lack of strategic direction. Lack of forward planning by clusters. Lack of good quality information on stock. 	Better engagement with public sector partners and ALEO's	Not Effective	 <p>Likelihood</p>
		Merge asset management teams in corporate landlord.	Partially effective	
		Business canvasses have locations section to query locations and identify costs	Partially effective	
		Business canvass for phase II asset rationalisation	Partially effective	
		Engagement with other Chief Officers on future and requirements.	Partially effective.	
		Creation of HRA strategic team with external support.	Partially effective	
			Very serious	
			Significant	
Risk Owner	Stephen Booth	Risk Manager		Residual Risk Assessment
Latest Note	Updated. Dialogue being established around ALEO hub. Review of input with partners around future asset planning.		January 2019	 <p>Likelihood</p>
				Very serious
				Very low