Appendix B – Assurance Map

Risk Reference	Risk Description and Score	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
Corp002	**Health & Safety Compliance** The Council must comply with Health and Safety legislation to prevent harm to employees and/or members of the public. **Residual Risk Score: 8**	• Risk assessments • Staff training and development on health and safety • Operational Safe Systems of Work • RIDDOR reporting (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations) • Compliance checks • Physical verification checks • Function Health and Safety Groups • Health and Safety Improvement Plans • Investigations into incidents and breaches • Operational procedures and guidance notes to implement Corporate Health and Safety Policy and ancillary corporate policies	• Corporate Management Team (CMT) Stewardship undertakes monthly review of health and safety risk compliance risk • Corporate Health and Safety Policy • Senior Management Team review of health and safety performance data • CMT Stewardship oversight of health and safety contraventions • Performance reports to Staff Governance Committee • Trade Union/Director fortnightly meetings at which health and safety matters can be raised • Audit, Risk and Scrutiny Committee oversight of risk management system	• Health and Safety Executive (HSE) visits and reports - RIDDOR require ACC to report identified injuries to be reported to HSE. These reports can lead to HSE interventions where they meet their requirements. • Scottish Fire and Rescue audits – conduct annual fire safety audits of care establishments; also 6 monthly walk around audits of multi-storey housing blocks • Care Inspectorate audits – programme of inspection visits to care homes in Scotland • Internal Audit Plan approved and overseen by Audit, Risk and Scrutiny Committee, covers health and safety arrangements • Her Majesty's Inspectorate of Education reports – use a sampling strategy for inspections across all early learning establishments and schools.

Appendix B – Assurance Map

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Risk Reference	Risk Description and Score		First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
Corp003	**Workforce for the Future** **The Council must ensure that it has a workforce with the capability and capacity to deliver our Strategic Outcomes.**		• Risk assessments • Monitoring of casework data • Skills audits used to build training requirements and programmes of development • Managers' completing Performance Review and Development • Regular monitoring of peripheral staff • Absence reporting • Staff related procedures flowing from polciies • Workforce Development Plan including training and development • Capability Framework implementing Guiding Principles • Leadership Forum	• Performance reports to Staff Governance Committee • Corporate Management Team (CMT) Stewardship undertakes monthly review of workforce for the future risk • Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Staff related policies and procedures • Strategic Workforce Plan • Data Protection processes • Consultation and legislative tracker to horizon scan for changes in the law • Audit, Risk and Scrutiny Committee oversight of risk management system	• COSLA – national negotiating body via SJC and SNCT. • Scottish Government – checking compliance with national initiatives e.g. Early Years Expansion, Pupil Equity Fund • Chartered Institute of Personnel Development (CIPD) / ACAS-- professional bodies available for benchmarking / best practice advice and guidance • Society of Personnel and Development Scotland (SPDS) – professional body available for benchmarking / best practice advice and guidance and links into COSLA • Internal Audit Plan approved and overseen by Audit, Risk and Scrutiny Committee covering workforce related matters such as VSER • Her Majesty's Inspectorate of Education (HMiE) reports – use a sampling strategy for inspections across school leadership and learning and teaching • GTC/SSSC- set out registration requirements for specific parts of the workforce • Employer Accreditations including Quality of Working lives, IIYP, Disability Confident, Armed Forces Covenant
	Residual Risk Score	**4**			

Appendix B – Assurance Map

Risk Reference	Risk Description and Score	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
Corp004	**Civil Contingencies** The Council must ensure that it puts in place adequate training, planning and testing for civil contingency events and other incidents. **Residual Risk Score** — **8**	• Emergency Plans Operational response procedures • Risk assessment within services • Business Continuity Plans • Training for emergency response including exercising, testing and validation • Performance reporting following incidents and emergency through de-briefs • Duty Emergency Response Co-ordinator procedures	• Business Continuity Policy • Organisational Resilience GroupBusiness Continuity Sub-Group • Corporate Management Team undertakes monthly review of Civil Contingencies risk • Senior Management Teams horizon scanning for new and emerging risks • CONTEST Framework Strategy for Scotland • Resilience Direct information sharing portal • Public Protection Committee oversight of resilience arrangements. • Risk assessment across resilience partners • Audit, Risk and Scrutiny Committee oversight of risk management system	• North Regional Resilience Partnership • Grampian Local Resilience Partnership • Internal Audit Plan approved and overseen by Audit, Risk and Scrutiny Committee, covers civil contingency arrangements • Scottish Government / Cabinet Office guidance • Testing of emergency plans at partner level.

Appendix B – Assurance Map

Risk Reference	Risk Description and Score	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
Corp005	**Information Governance** Information governance protocols and processes do not provide the appropriate framework to facilitate optimum information management in support of decision making and resource allocation based on a Business Intelligence culture.	• Mandatory Information Governance Staff Training • Procedures to implement Corporate Information Policy • Operational procedures and guidance notes including Corporate Information and Information Asset Owner Handbooks • Investigations into Data Breach	• Corporate Management Team (CMT) Stewardship undertakes monthly review of Information Governance Risk Register and Quarterly Information Governance Assurance reports • Policy documentation including Corporate Information Policy • Information Governance Group led by Senior Information Risk Owner (SIRO) • Audit Risk and Scrutiny oversight of Information Governance including annual Information Governance Assurance Statement • Data Forums	• Annual Internal Audit Plan approved and overseen by Audit Risk and Scrutiny Committee • Reports from Information Commissioners Office and National Records of Scotland
	Residual Risk Score **8**			

Appendix B – Assurance Map

Risk Reference	Risk Description and Score	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
Corp006	**Cyber Security** Cyber Security threats must be mitigated to protect the Council, its essential functions and customer data. **Residual Risk Score** **8**	• Mandatory Information Governance Staff Training and IT Security Staff Training • Operational procedures and guidance notes including Cyber Security Incident Management Procedure • Procedures to implement ICT policies • ICT System Risk Assessments • Data Privacy Impact Assessments • Investigation into incidents and breaches • IT audits	• Corporate Management Team (CMT) Stewardship undertakes monthly review of Cyber Security Risk. • Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Audit, Risk and Scrutiny Committee oversight of risk management system • Information Governance Group led by Senior Information Risk Owner (SIRO) • Policy documentation including, Information and Communication Technology (ICT) Acceptable Use Policy and ICT Access Control Policy	• Annual Internal Audit Plan approved and overseen by Audit Risk and Scrutiny Committee • Cyber Essentials testing and accreditation • Reports from Scottish Governance Cyber Resilience • External Penetration testing • Cyber Group under North Regional Resilience Partnership.

Appendix B – Assurance Map

Risk Reference	Risk Description and Score	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
Corp007	**Contract Management** 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. **Residual Risk Score** — **9**	• Staff training and development • Operational procedures and guidance including Contract Management Guidance and Procurement Regulations • Procedures to implement contract management policies	• Corporate Management Team (CMT) Stewardship undertakes monthly review of Contract Management Risk • Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Contract review by Demand Management Board • Oversight by Arms-Length External Organisation (ALEO) Assurance Hub • Audit, Risk and Scrutiny Committee oversight of risk management system • Strategic Commissioning Committee • Policy documentation including Sustainable Procurement and Community Benefits Policy	• Annual Internal Audit Plan approved and overseen by Audit Risk and Scrutiny Committee • Annual External Audit and report • External reports from Scotland Excel including Procurement Capability and Improvement Plans (PCIP) • Scottish Government performance review and reports

Appendix B – Assurance Map

Risk Reference	Risk Description and Score	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
Corp008	**Climate Change** The council must comply with a duty under the Climate Change (Scotland) Act 2009, to reduce emissions to contribute to national targets, adapt to climate change in contribution to the national adaptation programme, act sustainably and report annually on this work. Climate change will increase the severity and frequency of severe weather events, in Aberdeen (heavy winter rainfall, flooding, a rise in sea level, erosion, reduction summer rainfall, higher temperatures).	• Staff training and development • Operational plans and guidance including Climate Risk Guidance. Environmental risks (including climate risks) incorporated in business cases, committee reporting and guidance. • Climate Risk Assessments. • Weather Impact Assessment. • Monitoring and reducing emissions from ACC estate and services; including from buildings, transport and waste.	• Corporate Management Team (CMT) Stewardship undertakes monthly review of Climate Change risk. • Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Strategic plans including Sustainable Energy Action Plan (Powering Aberdeen); North East Flood Risk Management Plan and Strategy; and development of Climate Adaptation Framework (Aberdeen Adapts). • Audit, Risk and Scrutiny Committee oversight of risk management system. • City Growth and Resources Committee oversight of climate change reporting. • Inclusion in plans, programmes, strategies including those for planning, transport, housing.	• Annual Climate Change Report (Public Bodies Climate Change Duties) submitted to Scottish Government. • Statutory Performance Indicators (SPP) Emissions Management • Regional and National reports from Scottish Government, UK Government and SEPA • Adaptation Capability Framework Benchmarking Tool

	Residual Risk Score	16			

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Risk Reference	Risk Description and Score		First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
Corp009	**EU Exit Preparedness** The Council must ensure that it has effective plans in place to mitigate potential impacts of UK exit from EU where possible.		• Risk assessments by services • EU Exit Steering Group, cross-service meetings held fortnightly to review risks and mitigations against national planning assumptions • Assessment and review of workforce dependencies • Review of critical supplier plans • Monitoring and tracking of economic data • Communication and information plan for citizens • Workforce flexible approach in areas of demand • Budget planning for anticipated impacts • Horizon scanning (on-going by all services) • Resilience Direct data portal	• Review and monitoring of risk register by Corporate Management Team • Local Resilience Partnership undertaking resilience planning and preparedness across all partners • ALEO (Arms-Length External Organisations) Assurance Hub • Audit, Risk and Scrutiny Committee oversight of risk management system	• National Planning Assumptions • North Regional Resilience Partnership • Grampian Local Resilience Partnership
	Residual Risk Score	**12**			