

Capital Assurance Map

Risk Reference	Risk Description	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
CP001	<p>Risk that management failures / slippage in the delivery of capital projects /failure to secure and or retain funding from external sources, impacts negatively on the Council's financial stewardship.</p> <p>Recognising the wide portfolio of projects within the Capital Plan, failure to deliver a particular project on the LOIP expectations which could have an adverse impact on any external funding opportunities.</p>	<ul style="list-style-type: none"> • Follow Project Management protocols for project delivery. • Ensure project/programme risk register review meetings include consideration of any financial impact on the wider capital portfolio and any implications this may have across the Council. • Ensure key/sensitive projects allocated to managers with appropriate skills. • Review risk management training programme for key staff. • Seek guidance from Project Management Office. • Plan for good communication across clusters. 	<ul style="list-style-type: none"> • Resources Function Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register. • Review by Chief Officer Capital and provide any key updates to Director of Resources and other Chief Officers. • Review by Capital Board • Issues raised and review at Risk Board • Review by CMT 	<ul style="list-style-type: none"> • Annual reporting of Function / Cluster Risk Register to Capital Programme Committee. • Internal Audit Plan approved and overseen by Audit, Risk and Scrutiny Committee

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CP002	<p>Lack of staff resources which impacts on the delivery of capital projects.</p> <p>The Council is committed to the delivery of its strategic and capital planning priorities. Failure to deliver these priorities within time scale is a highly significant risk to the expectations as set out within the LOIP. In lieu of the wide portfolio of projects within the Capital Plan, failure to deliver a particular project due to staff resource issues will have an adverse impact on the LOIP expectations, whether that project is directly related to Place, People, Economy or Technology.</p>	<ul style="list-style-type: none"> • Ensure project management good practice is applied with regard to maintaining risk registers • Ensure key projects allocated to managers with appropriate skills • Review of external staff resources out with the Capital team and internal to the Aberdeen City Council to deliver the capital programme of projects. • Review of available consultant/contractor frameworks to facilitate the delivery of the capital programme of projects • Ensure consultation with other key Chief Officers 	<ul style="list-style-type: none"> • Resources Function Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register. • Review by Chief Officer Capital and provide any key updates to Director of Resources and other Chief Officers. • Review by Capital Board • Issues raised and review at Risk Board • Review by CMT 	<ul style="list-style-type: none"> • Annual reporting of Function / Cluster Risk Register to Capital Programme Committee. • Internal Audit Plan approved and overseen by Audit, Risk and Scrutiny Committee

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CP003	<p>Budget allocations within approved Outline Business Cases of projects are insufficient for project development/construction and any associated future maintenance obligations.</p> <p>The Council is committed to the delivery of its strategic and capital planning priorities. Strategic Outline Business Case / Outline Business Case for capital projects which are still at feasibility or detailed design stage shall be reviewed to ensure that they include an updated cost estimate for the full life-cycle of the project.</p> <p>In regard to the wide portfolio of projects within the Capital Plan, any significant changes following the review of a project may have an adverse impact on the LOIP expectations. For example, any forecast increase in costs may impact on the funding allocation of other projects across the whole portfolio.</p>	<ul style="list-style-type: none"> • Cost estimates for key projects to be reviewed at key stages of delivery. • Regular progress meetings. • Close collaboration with other Chief Officers. • Ensure independent cost estimate review check is carried out, prior to approving OBC. • Regular reporting to Finance Officers, monthly. 	<ul style="list-style-type: none"> • Resources Function Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register. • Review by Chief Officer Capital and provide any key updates to Director of Resources and other Chief Officers. • Review by Capital Board • Issues raised and review at Risk Board • Review by CMT 	<ul style="list-style-type: none"> • Annual reporting of Function / Cluster Risk Register to Capital Programme Committee. • Internal Audit Plan approved and overseen by Audit, Risk and Scrutiny Committee

Risk Reference	Risk Description	First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
CP004	<p>The income from developer obligations is less than expected. This will have a financial impact on any given project which relies on this income leading to a greater funding contribution required from the Council, potentially over a longer period.</p> <p>The Council is committed to the delivery of its strategic and capital planning priorities. Strategic Outline Business Case / Outline Business Case for capital projects which are still at feasibility or detailed design stage shall be reviewed to ensure that greater scrutiny is given to the expected level of financial contribution from developer obligations. The outcome of this may have an impact on the wide portfolio of projects within the Capital Plan, as any significant changes following the review of a project may have an adverse impact on the LOIP expectations.</p>	<ul style="list-style-type: none"> • Cost estimates for key projects to be reviewed at key stages of delivery. • Close collaboration with Developer Obligations Team Leader (Strategic Place Planning) • Regular progress meetings including review by Project Managers of expected developer obligations. • Close collaboration with other Chief Officers. • Ensure independent cost estimate review check is carried out, prior to approving OBC. • Regular reporting to Finance Officers, monthly. 	<ul style="list-style-type: none"> • Resources Function Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register. • Review by Chief Officer Capital and provide any key updates to Director of Resources and other Chief Officers. • Review by Capital Board • Issues raised and review at Risk Board • Review by CMT 	<ul style="list-style-type: none"> • Specific project related issues relevant to developer obligations will be reported to the relevant committee during the year should they become apparent. • Annual reporting of Function / Cluster Risk Register to Capital Programme Committee. • Internal Audit Plan approved and overseen by Audit, Risk and Scrutiny Committee