

Aberdeen Sports Village - Appendix E

	Assurance Request	ALEO Response	Risk Rating
Governance	<p><b>Governance Documentation</b> - Please provide copies of Constitution, Standing Orders and Procurement Regs, Delegated Powers and evidence that these have been reviewed as part of your Board structures (eg through minutes)</p> <p>Specifically, do delegated powers make provision for emergency structures and decision making to be initiated if your Board is unable to meet (eg pandemic-related)? If not, do you plan to make such provision?</p> <p>Do you have anything to report by exception in relation to codes of conduct for Board members?</p>	<p>The Hub noted that copies of the amended Articles of Association and Procurement Regulations had been provided which included delegated spending powers. The Hub noted the Joint Venture Agreement had also been provided which detailed a list of Shareholder Matters which covered various delegations. The Hub acknowledged that the ASV Board structure had been considered at the Board meeting on 19 March 2021 with regard to term and tenure. The submission also included the ASV Operating Agreement which explained, under policies and procedures, when various governance documents were due for review and the Hub was assured accordingly.</p> <p>The Hub was advised that throughout the past year, ASV had increased the frequency of its Board meetings, and that as a result the decision making powers of the Board had been very effective and swift. The Hub was assured in that regard, however, the Hub noted that there is no written or specific delegated powers to make provisions for emergency structures and decision making to be initiated should the Board be unable to meet. ASV will raise this at the next Board meeting scheduled for the 14th May 2021 and look to make such a provision. Assurance will be sought in the next cycle in this regard.</p>	Low
	<p><b>Staff Welfare and Performance Appraisal during COVID-19</b> - Please provide assurance around staff welfare arrangements during COVID - eg working from home procedures and guidance, including health, safety and wellbeing, updates to procedures to reflect flexible working arrangements, communications to staff on wellbeing matters. Please also provide confirmation that your performance appraisal system has continued to operate during the pandemic and how this has been applied to furloughed staff.</p>	<p>The Hub noted good evidence regarding staff welfare and the various efforts that had been made, including:-</p> <ul style="list-style-type: none"> <li>• The development of working from home procedures and guidance</li> <li>• The provision of information regarding furlough and the Government's job retention scheme</li> <li>• Extensive communication with staff via a wide range of methods, with the staff intranet heavily used which contained a lot of information around mental health, including the availability of a counselling support service</li> </ul> <p>The Hub noted that at the start of each Board meeting, the Chairperson asked the Chief Executive to provide an update on staff welfare matters and to provide assurances that appropriate support was being offered to staff; and this was evidenced from the minutes of the Board meetings which had been submitted.</p> <p>The Hub was advised that ASV's performance appraisal system had continued to operate during the pandemic, however appraisals were only conducted for staff who continued to work throughout the periods of lockdown and did not include staff who were furloughed, which represented the vast majority of ASV staff.</p>	Very Low
	<p><b>Data Protection</b> - Please provide written assurance that the following are in place (there is no need to send documentation, just confirmation that these are in place:</p> <ul style="list-style-type: none"> <li>• Policy and procedures which cover Data Protection (including breach handling and data protection rights requests) – in place (y/n) and date when last reviewed</li> <li>• Appropriate Privacy Notices – in place (y/n) and date when last reviewed</li> <li>• Appropriate Training for staff which covers DP – y/n and date(s) when last delivered</li> </ul>	<p>The Hub noted strong evidence with regard to data protection, with assurance provided that the relevant policies, procedures and notices were in place and regularly updated. In terms of staff training, the Hub was advised that appropriate training had been delivered on various dates in 2020 and 2021, which included GDPR, DPIA, Data Breaches, Individual's Data Rights and Subject Access Requests.</p>	Very Low
	<p>Please provide a copy of your risk register and evidence that it has been reviewed and updated? If EU Exit risks have been closed off, please provide evidence of this. Please also include reference to recruitment of EU nationals (process) and any risks remaining.</p>	<p>The Hub reviewed the risk register where risks are categorised as follows:- political, technological, economic, organisational, financial, life and limb (employees), life and limb (customer). The risk register is reviewed by the Board twice per year and was last reviewed in December 2020. Whilst it is normal practice for the Board to review the top 5 risks, on this occasion it reviewed 7 – an additional risk with a residual score of 16 (Legislative closure of ASV or operating restrictions) and 6 risks with scores of 12. There was also an additional risk - failure to support staff with mental health issues, support wellbeing needs and adverse effect on staff morale. The minutes of the Board meeting demonstrated good levels of scrutiny of the risk register, with a particular focus on the continuing impacts of the pandemic.</p> <p>The risk register demonstrates sound and current risk management, taking account of the impact of the pandemic and horizon scanning effectively for future risks particularly those caused by the obvious effects of COVID on ASV operations.</p> <p>The risk register presented in December (and reviewed by the Board) took account of the impact of a No Deal EU Exit with the main control in place being to monitor. As the UK ultimately left the EU with a deal, this did not materialise.</p> <p>ASV clarify that there were no other mitigations in place for a No Deal EU Exit other than to monitor. The risk mitigation was one of acceptance as due to the nature of our sector, customer base and supply chain, impact was considered to be minimal.</p>	Very Low

Risk	<p>Please provide copies of internal and external audit plans and evidence of your organisation's process for monitoring and completing internal and external audit recommendations.</p>	<p>The Hub reviewed evidence of the key planning document for ASV's annual external financial audit and noted that ASV's external audit Director reports and makes recommendations to the Board at it's December meeting each year. This includes evidence of the monitoring and completion of actions.</p> <p>Findings from the 2019/20 internal audits were also included. The ASV Service Development and Improvement Plan tracks actions identified in the internal auditing process (Quest Plus Audit). This plan tracks the improvement actions in areas including:</p> <ul style="list-style-type: none"> <li>• Internal audits and other audit activity</li> <li>• Policy reviews</li> <li>• Risk Assessments</li> <li>• Customer feedback</li> <li>• Routine inspections</li> <li>• Mystery shoppers</li> </ul> <p>The Hub noted that an internal audit is planned in 2021/22. The scope of this is quite broad and involves topics such as legislative compliance, customer experience, cleaning &amp; housekeeping, maintenance &amp; equipment, Team &amp; skills development, community impact &amp; engagement, environment, safeguarding and improvement planning process.</p>	Very Low
	<p>Please confirm that your organisation makes provision for the testing of business continuity plans and confirm the process for doing this. Please confirm any lessons learned from the activation of business continuity plans over the last 12 months. Please provide evidence that business continuity plans have been updated in the last 12 months i.e. to reflect lessons learned, changes in working/operational processes.</p>	<p>The Hub reviewed copies of ASV's COVID Response Plan and COVID Strategy which provided clear evidence of business continuity arrangements during the pandemic, a staff communication strategy, and a response plan to manage the loss of staff to symptoms or illness. A safety operating procedure was also provided as strong evidence of the ways in which ASV has adapted its operations safely for both staff and returning customers. This was amended in accordance with Government guidance.</p>	Very Low
	<p>Please advise of any arrangements in place to support the Council with meeting its obligations as a Category 1 responder under the Civil Contingencies Act and in pursuit of the PREVENT strategy (preventing people becoming terrorists or supporting terrorism). This would include risk assessments to put in place contingency plans for emergencies, business continuity planning, emergency plans etc. Please advise if your organisation has received any training in this area, and if not, whether you would welcome a collaborative session with Council officers and all ALEOs.</p>	<p>The Hub noted that ASV currently do not participate as part of the PREVENT strategy but understand the requirements and are very keen learn how it can evidence support to ACC's obligations as a category 1 responder under the Civil Contingencies Act and in pursuit of the PREVENT strategy.</p> <p>ASV has received ACT training at management team level and liaises with Police Scotland in this regard. ASV would welcome input and direction from Aberdeen City Council in this matter. ASV has not received nor delivered PREVENT training and would welcome a collaborative session with Council officers and all ALEOs.</p> <p>ASV has previously agreed to support the Council's resilience arrangements by providing access to ASV in the event that the Council is required to activate a reception centre. This could be at the request of the Grampian Local Resilience Partnership, or if the Council identifies a pressing accommodation need for city residents such as an act of terrorism or a critical/major incident.</p> <p>The level of assurance gained in respect to ASV's Civil Contingencies is medium as there is further work to be done in respect of PREVENT and to provide training on the Council's responsibilities as a Category 1 responder.</p>	Low
Finance	<p>Please provide copies of any papers provided to your Board on your quarterly financial position along with any financial resilience papers that were prepared to support decisions made to manage your organisation's financial position.</p>	<p>Aberdeen Sports Village is a jointly and equally owned subsidiary of Aberdeen University and Aberdeen City Council with each providing equal annual funding and ultimately sharing any financial risk. Aberdeen Sports Village (ASV) financial year is to 31 July and therefore audited accounts were not available to review as part of the previous ALEO hub review process in October 2020.</p> <p>2019/20 Audited Accounts - The Hub noted that the 2019/20 financial audit did not raise any matters of concern and made no comment in relation to the Going Concern Principle. The risk rating is Low. The effect of the Covid shutdown during 2019-20 was a reduction of approx £600k by comparison against 2018-19 before depreciation and Pension fund valuation adjustments were taken into account. This should however be set against a background of significant liquid reserves available to the organisation. During financial year 2020/21, ASV operations continued to be affected by the Covid pandemic and the Hub noted that ASV have worked to mitigate the effect of the shutdown through cost reduction measures and accessing appropriate Government furlough grants.</p> <p>In terms of cash flow forecasting, the organisation worked through different re-opening scenarios and at the time of writing are currently working towards re-opening at the end of April 2021.</p> <p>It is noted that the ASV board took the decision, as approved by ACC and AU, to not charge the Lifecycle Reserves Provision during the current financial year. These are funds set aside to renew assets at a future date. In addition to a Lifecycle Reserve provision break in the current year (2020/21), a break in 2021/22 was approved by ASV's board at its 18 December 2020 meeting. This request was included within ASV's 3 Year Plan. The 3 Year Plan was approved by ASV's board in December and by the shareholders at their 13 April 2021 meeting. It is planned and expected for ASV to make a full Lifecycle Reserve provisions in subsequent years.</p>	Low/Medium