

Assurance Map

Capital

Cluster Risk Register Risks:

1. **Capital Project:** Budget Allocations - Budget allocations within approved Outline Business Cases of projects are insufficient for project development/construction and any associated future maintenance obligations.
2. **Capital Projects:** Developer Obligations Income - The income from Developer Obligations is less than expected.
3. **Capital Projects:** Financial Stewardship - 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.
4. **Capital Projects:** Resource – Lack of staff resources, which impacts negatively on the delivery of capital projects.
5. **Concurrent Risks:** External Impacts (Covid, Brexit, War, etc) - External factors such as Covid - 19 pandemic, Brexit, Ukraine (war), having a direct impact on the deliverability of projects/programmes contained within the approved Capital Programme.
6. **Construction delays due to interruption to supplies of materials:** Construction projects delayed due to interruptions to supplies of construction materials due to Covid, Brexit, climate events or industrial action.

First Line of Defence (Do-ers)

Second Line of Defence (Helpers)

Third Line of Defence (Checkers)

- Trained and qualified staff.
- 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.
- Consider availability to utilise ACC staff with appropriate skill out with the Capital team to deliver the capital programme of projects.

- CMT Boards.
- Council Committees.
- 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.
- Report any issues by exception to the Performance Board.
- Policy Documentation.

- External Audit.
- Internal Audit – Capital Project Management – February 2022

<ul style="list-style-type: none">• Consider availability of using consultant/contractor frameworks to facilitate the delivery of the capital programme of projects .• Ensure consultation with other key Chief Officers .• Cost estimates for key projects to be reviewed at key stages of delivery.• For significant/key projects ensure an independent cost estimate review check is carried out, prior to approving OBC.• Regular progress meetings.• Where appropriate maintain close collaboration with other Chief Officers throughout delivery.• Regular reporting to Finance Officers, monthly.		
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