

## 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.

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