**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), unrest in the Middle East and the possibility of a Trade War or imposition of tariffs, all of which are 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, the Russian invasion of Ukraine (war), unrest in the Middle East, the possibility of a Trade War or imposition of tariffs, climate events or industrial action.

| First Line of Defence<br>(Do-ers) | Second Line of Defence<br>(Helpers) | Third Line of Defence<br>(Checkers) |
|---|---|---|
| • Trained and qualified staff.<br>• Follow Project Management protocols for project delivery.<br>• 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.<br>• Ensure key/sensitive projects allocated to managers with appropriate skills.<br>• Review risk management training programme for key staff.<br>• Seek guidance from Project Management Office.<br>• Plan for good communication across Clusters.<br>• Consider availability to utilise ACC staff with appropriate skill out with the Capital team to deliver the capital programme of projects. | • CMT Boards.<br>• Council Committees.<br>• City Regeneration and Environment Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register.<br>• Review by Chief Officer Capital and provide any key updates to Executive Director City Regeneration and Environment and other Chief Officers.<br>• Review by Capital Board.<br>• Report any issues by exception to the Performance Board.<br>• Policy Documentation. | • External Audit. |

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| • Consider availability of using consultant/contractor frameworks to facilitate the delivery of the capital programme of projects.<br>• Ensure consultation with other key Chief Officers.<br>• Cost estimates for key projects to be reviewed at key stages of delivery.<br>• For significant/key projects ensure an independent cost estimate review check is carried out, prior to approving OBC.<br>• Regular progress meetings.<br>• Where appropriate maintain close collaboration with other Chief Officers throughout delivery.<br>• Regular reporting to Finance Officers, monthly. | | |