

Cluster Assurance Maps

Assurance Map		
Cluster – Customer Experience		
First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
<ul style="list-style-type: none"> • Trained and qualified staff • Operational Procedures and Guidance Documents • Staff training and development • Operational Risk Assessments • Operational procedures and guidance including those set out in the Business Continuity Plans in the event of a system or process failure. • Operational Test Schedules for Business Continuity Plans • Disaster Recovery plan for Regional Contact Centre • Analysis following activation of business continuity arrangements / tests and improvement plans identified. 	<ul style="list-style-type: none"> • CMT Boards • Council Committees • Customer Function Senior Management Team (undertakes review of Cluster Operational Risk Register) • Customer Experience Cluster Senior Management Team (undertakes review of Cluster Operational Risk Register) • Policy Documentation • Assurance Team • Business Continuity Sub-Group 	<ul style="list-style-type: none"> • Annual Internal Audit Plan approved and overseen by Audit Risk and Scrutiny Committee • Annual External Audit • HMRC Audit on PAYE • DWP Subsidy Audit • DWP Housing Benefit Review • Non-Domestic Rates NDRI – External Audit

Assurance Map		
Data & Insights		
First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
<ul style="list-style-type: none"> • Trained and qualified staff • Operational procedures and guidance notes, including consistent corporate processes for: <ul style="list-style-type: none"> - Data Protection Impact Assessment - Privacy notices - Data Protection Rights Requests - Incident reporting and handling - Information Sharing Agreement and contractual arrangements - Maintaining the Council's records of processing activities (Information Asset Register) • Records Retention and Disposal Schedule • Mandatory Information Governance Staff Training • Clear and consistent roles and responsibilities in relation to data and information in Corporate Policy and supporting Handbooks of procedures 	<ul style="list-style-type: none"> • CMT Boards • Council Committees • Effective Information Governance / DPO advice and support • Information Governance Group led by Senior Information Risk Owner (SIRO) reviews Quarterly Information Governance Assurance reports • Corporate Information Policy • Data Forums • Governance including annual Information Governance Assurance Statement • Internal Information Assets Assurance Cycle • CCTV Assurance Framework 	<ul style="list-style-type: none"> • External scrutiny of Council's arrangements in relation to DP and PRSA in the form of Reports, inspections, and audits from the Information Commissioners Office and the Keeper of the National Records of Scotland • Annual Internal Audit Plan approved and overseen by Audit Risk and Scrutiny Committee

Assurance Map		
Digital & Technology		
First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
<ul style="list-style-type: none"> • Trained and qualified staff • IT Security Technologies – devices to filter traffic and protect network, virus control software and domain access rules e.g. Conditional Access and Encryption • Operational procedures and guidance notes • Mandatory Information Governance Staff Training and IT Security Staff Training • Investigation into incidents and breaches • Monitoring & Alerting • Patch Management • System Change Management • Threat Hunting 	<ul style="list-style-type: none"> • CMT Boards • Council Committees • D&T Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Information Governance Group • ICT System Risk Assessments • Data Privacy Impact Assessments • Vendor Management • Policy documentation including, Information and Communication Technology (ICT) Acceptable Use Policy and ICT Access Control Policy, Protective Monitoring Policy • Annual review against Public Sector Cyber Security Framework 	<ul style="list-style-type: none"> • Internal Audit overseen by Audit Risk and Scrutiny Committee • External IT Health Checks for PSN Accreditation by Surecloud. Surecloud are National Cyber Security Centre and Check approved. • External Penetration testing on internet facing services by Surecloud. Surecloud are National Cyber Security Centre and Check approved.

Assurance Map		
Cluster – Early Intervention and Community Empowerment		
First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
<ul style="list-style-type: none"> • Trained and qualified staff • Operational procedures and guidance documentation 	<ul style="list-style-type: none"> • CMT Boards • Council Committees • Policy Documentation • Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Full Council • Organisational Resilience Group 	<ul style="list-style-type: none"> • Annual Internal Audit Plan approved and overseen by Audit Risk and Scrutiny Committee • Annual External Audit and report • Full Council • Community Planning Aberdeen • Education Scotland - CLD Strategy and performance (HGIOCLD) • Scottish Housing Regulator - Annual return on housing performance; annual risk assessment • Scottish Social Services Council - Registered Housing Support Services • Care Inspectorate for Registered Housing Support Services • Scotland and Scottish Library & Information Council - Ambition & Opportunity : National Strategy for Public Library Services, and performance framework (HGIOPLS) • Scotland and Scottish Library & Information Council and Education Scotland -Vibrant Libraries thriving schools : Strategy for School Libraries - and performance HGIOSL

		<ul style="list-style-type: none">• Financial Inclusion Team - Scottish National Standards for Advice and Information Providers Scottish Legal Aid Board• Scottish Government - Child Poverty Action Plan• Scottish Government Homelessness reporting and Rapid rehousing Transition Plan scrutiny
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Assurance Map		
Cluster – Children & Families Services (Children’s Social Work)		
First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
<ul style="list-style-type: none"> • Trained and qualified staff • Professional Supervision in place for all CSW staff ensuring day to day service delivery. • Team Managers/SM's oversight of finances for teams • Agreed health and safety procedures – all staff supported to familiarise as part of induction. • All staff involved in risk assessment process • Team Business Continuity Plans in place • Tracking and monitoring arrangements in place in all schools to track performance and delivery of statutory duties. • Learning from case reviews considered on single and multi-agency basis and embedded at practitioner level. • Voice of children and young people at the heart of service planning and improvement. • Regular analysis of CSW data to improvement planning on both single and multi-agency basis. • Staff supported to fulfil registration requirements to ensure continuous professional development. 	<ul style="list-style-type: none"> • CMT Boards • Council Committees • Health and Safety guidance for services, including Lone Working • Identified health and safety team link for all teams • Child protection and safeguarding guidance and professional learning available • Range of policies/procedures for schools to support consistent practice • SM QA activity within teams and through professional supervision. • Multi-agency Quality Improvement activity • Service Business Continuity Plan • Improvement groups comprising central Officers and school staff identify and address emerging risks • Data dashboard and Risk Register discussed fortnightly by SMT • Regular finance meetings with Senior Leadership Team • Assurance Team • Committee reports • Regular contact with SWS and COSLA 	<ul style="list-style-type: none"> • Care Inspectorate Inspections • HSE Covid-19 inspections • Health and Safety Team compliance visits to work settings • ECMT data reviews • Performance reports to Committee • Annual reporting of Risk Registers to Committee • Internal Audit Plan approved and overseen by Audit, Risk and Scrutiny Committee • Regular contact with Scottish Government OCSA Team • External Audit • Monthly budget print outs • Annual External Audit and report • Annual Internal Audit Plan approved and overseen by Audit, Risk and Scrutiny Committee • Audit Scotland and National Audit reports

Assurance Map		
Operations and Protective Services		
First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
<ul style="list-style-type: none"> • Trained and qualified staff • Operational plans and guidance including surveys, monitoring of existing infrastructure, committee reporting and guidance • Contract Management Guidance and Procurement Regulations • Procedures to implement contract management policies • Operational procedures • Climate risk Assessments & Guidance • Environmental risks (including climate risks) incorporated in business cases, committee reporting and guidance • Weather impact Assessments • Regular monitoring and Infrastructure Assessments • Budget planning for anticipated impacts/ budget requirements • Emergency plans, Operational response procedures • Investigation with other LA's / SCOTS and our Legal teams whether we can refuse to sign up to the legal agreement • Roads Winter Maintenance Plans • Flood Risk Management Plans • Community involvement • Cross Service training events • Joint working with internal/external resources and Environmental Services • Park Management Plans 	<ul style="list-style-type: none"> • CMT Boards • Council Committees • Corporate Management Team (CMT) • Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Corporate Policy Documentation • Contract review by Demand Management Board • Strategic plans including North East Flood Risk Management Plan and Strategy; and development of Climate Adaptation Framework (Aberdeen Adapts) • Strategic Commissioning Committee • Inclusion in plans, programmes, strategies including those for planning, transport & housing • Local Resilience Partnership undertaking resilience planning and preparedness across all partners • Public protection committee oversight of resilience arrangements • Local Outcome Improvement Plan (LOIP) • APSE benchmarking • Aberdeen Open Space Strategy • Aberdeen Food Growing Strategy • Partnership working through Northern Roads Collaboration Group / Committee • Comprehensive in-house quality system audit programme to cover all aspects of current quality systems. • Union partnership (safety representatives) • Planning works as per CDM regulations 2015 	<ul style="list-style-type: none"> • Annual Climate Change report (Public Bodies Climate Change Duties) submitted to Scottish Government • Regional and National reports from Scottish Government, UK Government and SEPA • North Regional Resilience Partnership • Grampian Local Resilience Partnership • Annual Internal Audit Plan approved and overseen by Audit Risk and Scrutiny Committee • Scottish Government performance review and reports • Testing of emergency plans at partner level • Adaptation Capability Framework Benchmarking Tool • North Regional Resilience Partnership • Community Planning Aberdeen Board (CPA Board) • Local Outcome Improvement Plan (LOIP) Residual • Participation in external quality system audit programme to cover all aspects of current quality system • Participation in external quality system inspection programme to cover all aspects of current quality system • External Audit provider UK Logistics (FTA) • DVSA • Police Scotland

Appendix B

<ul style="list-style-type: none"> • Internal / external communication and networking • Committee reporting • LOIP Improvement projects 11.3, 13.2 • Maintaining an awareness of current accreditation requirements through receiving regular updates from UKAS • UKAS included as a main topic in team meetings and as an objective in PR&Ds • Fleet Service Users • Drivers / Operators • Fleet Workshop Managers and Operatives • Waste Service Policies 	<ul style="list-style-type: none"> • Risk assessment Method Statements and procedures established and reviewed • Coordination of works by team leaders • Team Leader supervision • Internal inspection regimes • Fleet Management / Compliance Team • Procurement Team • Operational management team, Contract managers, Team leaders, Risk control team • Customer feedback management system • KPI's management systems established • Service User's 	<ul style="list-style-type: none"> • Catering Service Quality Management System, BSI 9001 • CITB (Industrial Training Board) inspection/ audit • Skills development Scotland (Managing agency Tullos Training) Inspection/ audit • Gas Safe Register risk-based audit • Scottish Electrical Charitable Training Trust (Managing agency NICEIC) periodic audit • External fuel providers (contingency plan) • Scottish Road Works Commissioner – Annual Performance Review Report • Waste Data Flow Report to SEPA
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