

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.

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 • 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 	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • External Audit

<p>team to deliver the capital programme of projects.</p> <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• Ensure 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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Assurance Map

Children & Families Services (Children's Social Work)

Cluster Risk Register Risks:

1. **Unaccompanied Asylum Seeking Children (UASC)** - Risk that the dispersal of Unaccompanied Asylum Seeking Children (UASC) from England will result in a number being placed in Aberdeen. The unique needs of UASC will require significant resources and a multi-agency response and they have access to appropriate legal services.
2. **CareFirst System Failure** - Risk of major CareFirst systems failure

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 	<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 	<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 • 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

<p>basis and embedded at practitioner level.</p> <ul style="list-style-type: none">• 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">• 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	
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Assurance Map

City Growth

Cluster Risk Register Risk:

1. **Concurrent Economic Events** - Impacts to the local economy from concurrent events such as COVID-19, EU-Exit, Oil & Gas price fluctuations.

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 • Team Managers 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 • Operational plans and guidance including surveys, monitoring, committee reporting • Contract Management Guidance, policies and Procurement Regulations • Community involvement • Cross Service protocols and training events • Joint working with internal/external resources and services • Internal / external communication and networking • Committee reporting • LOIP objectives 	<ul style="list-style-type: none"> • CMT Boards • Council Committees • Senior Management Team undertakes review of Cluster Operational Risk Register and monthly budget and contract management • Oversight on service KPIs • Health and Safety guidance for services, including Lone Working • Identified health and safety team link for all teams • Contract review by Demand Management Board • Plans and strategies to support the City's economic growth. Including Net Zero Vision and Prospectus for Aberdeen; Strategic Infrastructure Plan (Energy Transition); Aberdeen Hydrogen Strategy • Strategic Commissioning Committee • Inclusion in plans, programmes, strategies including those for planning, transport and housing • Local Outcome Improvement Plan (LOIP) 	<ul style="list-style-type: none"> • Regional and National reports from Scottish Government, UK Government • Scottish Government performance review and reports • Community Planning Aberdeen Board (CPA Board) • Local Outcome Improvement Plan (LOIP) • Annual reporting of Risk Registers to Committee • Economic Policy Panel • APSE benchmarking • Net Zero city governance - Net Zero Leadership Board and Net Zero Transition Delivery Unit

<ul style="list-style-type: none">• Maintaining an awareness of current statutory requirements through receiving regular updates from Scottish Government and attending specific events	<ul style="list-style-type: none">• KPI's management established• City Region Deal• Cultural Strategy	
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**Assurance Map
Commercial & Procurement Services**

Corporate Risk Register Risk:

1. Non-Compliance with Procurement Regulations –

(1) Contract Management - Risk that Strategic & Critical contracts and associated supplier relationships are not managed effectively, which can have a detrimental impact on the achievement of required outcomes to support commissioning intentions/delivery of LOIP outcomes/achievement of best value.

(2) Non-Compliance with Procurement Regulations: Governance Arrangements are not fully complied with by Delegated Procurers including seeking approval to go out to market, provision of Annual Procurement Workplans and ensuring contracts are recorded on the Contract Register, which could lead to the Council being in breach of Procurement Legislation.

(3) Contract expenditure exceeding approved value with no further approval being sought. Spend on contract is not linked through to budget via Financial Systems e.g. through consistent reference numbers and inclusion of approval details in the Contracts Register, back to a contract and its approval, if contract spend cannot be effectively monitored expenditure could breach thresholds and lead to the Council being in breach of Procurement Legislation.

Cluster Risk Register Risks:

1. **Scotland Excel** - Membership does not deliver anticipated benefits - The ability of Scotland Excel to delivery against objectives could potentially be impacted by lack of buy in from member councils/lack of participation/failure to identify and manage new opportunities/3rd & 4th Generation Frameworks don't deliver value/Uncertainty & Price Increases caused by Brexit/Covid
2. **Shared Service - Service Level Agreement** - Delivery of KPI's - Risk that Commercial & Procurement Shared Service are unable to deliver against agreed KPI's within Service Level Agreement
3. **Climate Change and severe weather affect the costs and availability of goods and services** - Failure to embed climate change procurement policy, processes and to consider climate risks in the design life of procurements.
4. **Procurement Fraud** - Public procurement is vulnerable to fraud and corruption because of the level of expenditure, the volume of transactions, the complexity of the process and the number of stakeholders involved, these vulnerabilities can also make public procurement a target for Serious & Organised Crime.
5. **EU-Exit - Supply Chain** - Commodity Risks and Impacts on Supply Chain
6. **Shared Procurement Service Partner Withdrawal** - Partner to the Shared Service decides to withdraw.

First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
<ul style="list-style-type: none"> • Online Staff Training & Development • Operational procedures and guidance including Procurement Manual, Contract 	<ul style="list-style-type: none"> • CMT Boards • Council Committees 	<ul style="list-style-type: none"> • Internal Audits on Procurement – <ul style="list-style-type: none"> ○ Vehicle Replacement Policy and Procurement • Annual External Audit and report

<p>Management Guidance and Procurement Regulations</p> <ul style="list-style-type: none"> • Procedures to implement contract management policies 	<ul style="list-style-type: none"> • Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Contract review by Demand Management Board • Strategic Procurement Board (Senior management representation from other Shared Service Partners) • Policy documentation including Sustainable Procurement and Community Benefits Policy 	<ul style="list-style-type: none"> • External reports from Scotland Excel including <ul style="list-style-type: none"> ○ Procurement Capability and Improvement Plans (PCIP) • Scottish Government performance review and reports (Annual Procurement Report)
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Assurance Map

Corporate Landlord

Cluster Risk Register Risks:

1. **Failure to deliver asset valuations** - Risk of failure to complete the asset valuation which is required for the council financial accounts.
2. **Inadequate Asset Management Planning** - Risk that resources will not be allocated appropriately and efficiently if asset management plan is not in place and is not robust.
3. **Risk of non-compliance with Statutory Compliance with Council Properties** - The Council is required to safeguard its employees and members of the public to ensure their health and safety through effective implementation of statutory maintenance and compliance checks such as asbestos management plans, gas safety certification, legionella testing etc.
4. **Risk to the delivery of Capital and Revenue Income** - The Cluster has income targets for capital and revenue income.
5. **Reinforced Autoclaved Aerated Concrete Panels and Planks (RAAC)** - RAAC was a commonly used material in the 60's, 70's and early 80's. There have a small number of incidents where roof planks have failed leading to the collapse to elements of the roof. RAAC has been confirmed as present in a small number of buildings with others requiring to be assessed.

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 including those set out in the Business Continuity Plans in the event of a system or process failure. • Risk Assessments. • Staff training and development on business continuity arrangements. • Analysis following activation of Customer Experience Cluster Senior. • Management Team (SMT) undertakes review of Cluster Operational Risk Register. • Staff have appropriate training, qualifications and engage with market and like professionals. • Regular marketing and income meetings. 	<ul style="list-style-type: none"> • CMT Boards • Council Committees • Policy Documentation. • Resources Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register. • Executive Board Structure • Assurance Team. • Business Continuity Group Sub-Group. • Annual reporting of Function / Cluster Risk Register to Operational Delivery Committee • Monthly budget print outs. • Capital Board – post project reviews and post occupancy evaluations. 	<ul style="list-style-type: none"> • Internal Audit - Industrial and Commercial Property Rental Income and Void Control. • External Audit. • RICS Registration.

<ul style="list-style-type: none">• Use of external property consultants, management agreements and managing agents as appropriate.• Resource plan developed.• Use of external advisors in specialised areas.• Participation in national networks (CIPFA/ ACES/ RICS/ SHoPs etc.)• Programmes of inspections for property portfolio.• Contract management meetings.		
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Assurance Map
Customer Experience

Cluster Risk Register Risk:

1. **Customer Experience Service Delivery** - Risk to delivery of key front-line services in the event of failures of systems, processes or in the event of an incident, e.g. climate event

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"> • Internal Audit - HR Payroll System • Internal Audit - Teachers' Payroll • Internal Audit - Timesheets and Allowances • Annual External Audit • HMRC Audit on PAYE • DWP Subsidy Audit • DWP Housing Benefit Review • Non-Domestic Rates NDRI – External Audit

Assurance Map

Data & Insights

Corporate Risk Register Risk:

1. **Information Governance** - Risk that the Council's Information Governance Framework (people and behaviour, process and system, adapting and learning) is not sufficiently robust to ensure that council information and data is processed in a way which: i. mitigates potential harm to the rights and freedoms of data subjects arising from data processing ii. meets the Council's operational, strategic and accountability requirements (business and statutory); iii. demonstrates proper stewardship to deliver outcomes for our people, place and economy.

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 	<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

<ul style="list-style-type: none">• Clear and consistent roles and responsibilities in relation to data and information in Corporate Policy and supporting Handbooks of procedures		
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Assurance Map

Digital & Technology

Corporate Risk Register Risk:

1. **Cyber Security** - Risk that Cyber security threats are not sufficiently mitigated against to protect the Council, its essential functions and customer data

Cluster Risk Register Risks:

1. **Climate Change - Digital Infrastructure** - Digital infrastructure will be impacted by adverse incidents caused by climate change (flooding, extreme weather) resulting in disruption to the delivery of council services.
2. **Digital & Technology Service Delivery** - Risk that IT service disruption impacts on the ability of the Council to deliver key services to customers

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 	<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"> • 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.

- Threat Hunting

Assurance Map

Early Intervention and Community Empowerment

Cluster Risk Register Risks:

1. **Rental income from Council Housing** - There is a risk of reduced Rental Income to the HRA and General Fund arising from COVID-19 crisis and as we transition to new welfare support mechanisms.
2. **Void Property Management** - There is a risk that the level of void properties leaves ACC unable to house applicants appropriately or timeously, affecting quality of life, increasing spend on hotels and reducing rental income.

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"> • Internal Audit - Housing Waiting List and Allocations • Annual External Audit and report • 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

		<p data-bbox="1496 116 2016 177">schools : Strategy for School Libraries - and performance HGIOSL</p> <ul data-bbox="1451 180 2033 467" style="list-style-type: none"><li data-bbox="1451 180 2033 304">• Financial Inclusion Team - Scottish National Standards for Advice and Information Providers Scottish Legal Aid Board<li data-bbox="1451 308 2033 368">• Scottish Government - Child Poverty Action Plan<li data-bbox="1451 371 2033 467">• Scottish Government Homelessness reporting and Rapid rehousing Transition Plan scrutiny
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Assurance Map

Education Service

Cluster Risk Register Risks:

1. **Education Staffing Shortages** - Risk of staffing shortages impacting on delivery and quality of education
2. **Education - Demographic demands** - Growing demographic demands result in service delivery pressures

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 • School Leadership Team oversight and quality assurance of day to day operations and finances in school • School health and safety procedures agreed annually • All staff involved in school risk assessment process • Designated school Health and Safety Reps • Risk assessments shared with all staff including Trade Union reps • School risk registers in place in all schools with effective mechanisms in place for review and escalation • School Business Continuity Plans in place • Tracking and monitoring arrangements in place in all schools to track attainment • School positive behaviour management procedure agreed yearly 	<ul style="list-style-type: none"> • CMT Boards • Council Committees • Health and Safety guidance for schools • Identified health and safety team link for all schools • Child protection and safeguarding guidance and professional learning available to schools • Range of policies/procedures for schools to support consistent practice • Quality Improvement Visits to schools and Early Learning and Childcare provision • Quality Improvement Team monitoring of live data • Service Business Continuity Plan • Monitoring of complaints • Improvement groups comprising central Officers and school staff identify and address emerging risks • Weekly Trade Union meetings 	<ul style="list-style-type: none"> • Education Scotland inspections • Care Inspectorate Inspections • HSE Covid-19 inspections • Health and Safety Team compliance visits to schools • ECMT data reviews • External Audit • Monthly budget print outs • Annual Internal Audit Plan • Audit Scotland and National Audit reports

<ul style="list-style-type: none">• School child protection and safeguarding procedures agreed yearly• Yearly analysis of school community data to inform the school improvement plan• In-service days and staff meetings to address any identified vulnerabilities	<ul style="list-style-type: none">• Engagement with Parents and Carers• Data dashboard and Risk Register discussed fortnightly by Senior Leadership Team• Regular finance meetings with Senior Leadership Team• Assurance Team• Regular contact with ADES and COSLA	
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Assurance Map

Finance

Corporate Risk Register Risk:

1. **Financial Sustainability** - Failure to deliver financial sustainability due to: Failure to align resources to commissioning intentions and service standards, Inadequate financial reporting and planning, Failure to respond to external factors, Failure of partners, businesses or the 3rd sector, Failure of transformation plans, projects or service redesigns and Inadequate financial stewardship or capability.

Cluster Risk Register Risk:

1. **Failure to deliver key financial services in the event of the failure of plans, capabilities, systems and processes** - Failure to deliver statutory monitoring, Failure to administer NESPF, Failure to provide business advice and financial implications of change, Inability to deliver key service standards and customer service, System failure, Failure of financial policies and controls, loss of income, poor management of council finances, Failure to make benefits of technology and best practice and Reputational damage and poor relationship management

First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
<ul style="list-style-type: none"> • Annual statements of accounts and quarterly reporting including valuations and balance sheet. • Medium Term Financial Strategy. • Budget setting. • Monthly and Quarterly monitoring and reporting of budget including contingent liabilities. • Financial protocols in Scheme of Governance, Financial Regulations and associated financial procedures and practices 	<ul style="list-style-type: none"> • CMT Boards • Council Committees • External Audit reports • Council and specific Charitable Trust Boards • Finance SMT • CMT and ECMT • ALEO assurance hub • IJB Risk Audit and Performance Board 	<ul style="list-style-type: none"> • Annual External Audit and report of ACC Accounts, Pension Funds and Group Accounts • Internal Audit - Financial Sustainability • Annual credit rating review • London Stock Exchange compliance checks • National Audit reports and Best Value Audit • Her Majesty's Revenue and Customs Inspections • Treasury, Director of Finance and other bodies reports and advice

<ul style="list-style-type: none"> • Financial policies and procedures including Counter Fraud, Following the Public Pound and Service Income • Financial Implications review of all committee reports. • Treasury Management reviews with our treasury consultants • Monitoring of Finance Cluster and Institutional risks. • FM Code self-assessment. • Pension fund management protocols and procedures • Task plans, CR&D and Succession Plans • Horizon Scanning reviews. • Embedding new impacts into business as usual e.g. Covid Grant payment procedures, Covid Grant Monitoring • Budget holder training. 		<ul style="list-style-type: none"> • Charities Commission (OSCR) reports and advice and reports on Trust Accounts • Scottish Government Returns e.g. budget and out- turn data, grant claim criteria • Data required by other grant funders and stakeholders of ACC • ICAS and CIPFA trainer accreditations • Benchmarking – LGBF and Directors of Finance • Pensions Regulator • Bond Trustee
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Assurance Map

Governance

Corporate Risk Register Risks:

1. **Civil Contingencies** - Risk of non-compliance with the Council's responsibilities as a Category 1 responder under the civil contingencies legislation and guidance
2. **Health & Safety Compliance** - Risk of non-compliance with Health and Safety legislation and practices resulting in harm to the workforce and/or members of the public

Cluster Risk Register Risk:

1. **Delivery of Elections**

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 • Fulltime EPR&C Lead • Training and exercising plan for DERCs, Tactical Leads, ALEOs and operational staff on the components of emergency response. • Risk assessments and project risk registers • RIDDOR reporting (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations) • Investigations into incidents and breaches of H&S policy or legislation. 	<ul style="list-style-type: none"> • CMT Boards • Council Committees • Corporate Management Team • Scheme of Governance • Local Code of Corporate Governance • Annual Governance Statement • Risk Appetite Statement • Risk Registers • Legislation and Consultation Trackers • Risk Horizon Scanning Tracker • Generic Emergency Plan and Activation Packs • DERC, UDERC and Tactical Lead rota 	<ul style="list-style-type: none"> • Health and Safety Executive • Scottish Fire and Rescue Service Audits • Care Inspectorate inspections • Education Scotland inspections • Traffic Commissioner Scotland • External Audit • North Regional Resilience Partnership • Grampian Local Resilience Partnership (GLRP) and GLRP Working Group • GLRP P&J Liaison Group

<ul style="list-style-type: none"> • Protocols, Plans & Guidance to implement policies • Duty Emergency Response Coordinators (DERCs) • Tactical Leads to support DERCs with emergency response • Housing and Flooding rotas to support emergency response • RCC, with Page One process to support emergency activation of DERC. • Additional Tactical Leads matching DERC numbers (11 of each) • Tactical Lead buddy system • Business Continuity Plan for Governance • Civil Contingency Incident De-Briefs • Corporate Procedure: CCTV • Bond Governance Protocol • Implementation of a Radio system across City Centre ACC buildings for managing security incidents and response. • Representation from across ACC emergency response team members at the monthly Bridge Calls arranged by Police Scotland Crime and Counter Terrorism Unit. Covering all CONTEST strands updates, training opportunities and awareness raising 	<ul style="list-style-type: none"> • Resilience Hub including DERC Handbook and Materials and regular updates, including for UNICORN • DERC, UDERC and Tactical Lead Training Materials • Resilience huddles across three Grampian local authorities including Scottish Govt rep. • Reception Centre Handbook including ALEO support • SCORDS Training Hub (Scottish Resilience Development Service) • ALEO Assurance Hub • Committee Effectiveness Reports • Revised Corporate H&S Policy approved by Staff Governance Committee including inventory of H&S procedures. • Process for approval of H&S procedures (CO-G approves corporate, relevant CO approves Cluster specific). • H&S Management System setting out roles and responsibilities • Document management system detailing corporate and local H&S procedures and documents, including review dates and responsible officers. • First Aid training and E-Learning including: Intro to health and safety, Fire safety, Managing Safety, Manual Handling, asbestos awareness, Fire Marshall and warden responsibilities, working at height, display screen equipment. • Face to face H&S training sessions on: risk assessment, lone working, COSHH risk assessment, Investigation, Incident reporting • Guidance on incident and near miss reporting. 	<ul style="list-style-type: none"> • Local Authority Resilience Group Scotland (LARGS) • North East CONTEST Multi-Agency Group • Information Commissioner's Office (regarding data protection) • Office of the Scottish Information Commissioner (regarding freedom of information) • Investigatory Powers Commissioner's Office • Credit Rating Agency • Accounts Commission • Audit Scotland • CIPFA • Standards Commission for Scotland • Commission for Ethical Standards in Public Life in Scotland • Law Society of Scotland • Office of the Scottish Charity Regulator (relevant where ACC itself is a charity trustee) • Financial Conduct Authority (regarding Stock Exchange bonds) • External competent bodies (regarding statutory inspection of plant and equipment) • Electoral Commission • Electoral Management Board for Scotland • Internal Audit – Licensing Income
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	<ul style="list-style-type: none">• Asbestos Working Group Terms of Reference, to monitor actions arising from breaches or HSE interventions.• Reporting to external bodies (HSE, Scottish Fire and Rescue Service and the Care Inspectorate)• Risk Assessment Guidance and templates (including COVID-19)• Compliance checks for COVID-19 risk assessments• Process for COVID-19 individual risk assessments• Guidance on homeworking during COVID-19• Process for review of Scottish Government guidance on COVID-19 to update internal guidance• Trades Union/Director Group• Health and Safety Trade Union meeting• Commissioning, Customer, Resources and Trades Unions Health and Safety Group• Operations and Trade Unions Health and Safety Group• Information Governance Group• Public Protection Committee• Risk Management Policy• Business Continuity Policy• International Twinning Grant Criteria Policy• Appointment of Elected Members to Outside Bodies Policy• Licensing Policies• Licensing Committee• Licensing Board• Organisational Resilience Group• Business Continuity Sub-Group• Policy Group	
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	<ul style="list-style-type: none">• Occupational Health Provider	
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Assurance Map

Operations and Protective Services

Cluster Risk Register Risks:

1. **Climate change – Tree Disease** - Risk to public safety, increased service demand, and staff H&S operational risks within Operations & Protective Services due to tree pest and diseases such as Ash Dieback and Dutch Elm.
2. **Loss of UKAS Accreditation** - The Laboratory losing, temporarily, its external UKAS accreditation following findings raised at either an annual, or unannounced UKAS visit
3. **Sea Defence Failure** -Failure of Sea Defences
4. **Waste Disposal Failure** - Risk of waste disposal failure - loss of markets for materials or waste management contract failure
5. **Loss of Operator’s Licence** - Effect of services inability to use goods vehicles through loss of operator’s licence
6. **Waste Management Contract Renewal** - Failure to complete procurement process in time to appoint a contractor for October 2025 meaning risk of potential waste treatment failure.

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 	<ul style="list-style-type: none"> • CMT Boards • Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • Corporate Policy Documentation • Council Committees • 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 	<ul style="list-style-type: none"> • Internal Audit – Vehicle Usage • Internal Audit -Vehicle Replacement Policy and Procurement • Internal Audit - H&S in Operations and Protective Services • 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

<ul style="list-style-type: none"> • 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 • • 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"> • 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 • 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"> • 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 • 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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Assurance Map

People & Organisational Development

Corporate Risk Register Risk:

1. **Workforce Capacity and Capability** - The Council must ensure that it has a workforce with the capability and capacity to deliver our Strategic Outcomes.
2. **Industrial Action – Pay Negotiations 2021/22** - Risk that rejection of the Public Sector Pay Policy, by the SNCT trade Unions could result in continuous or discontinuous strike action that could potentially impact on Education.

Cluster Risk Register Risk:

1. **P&O Service Delivery** - Risk to delivery of key services in the event of failures of systems, processes or capabilities

First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
<ul style="list-style-type: none"> • Staff related policies • Staff related procedures and guidance flowing from policies • Risk assessments • Senior Management Team (SMT) undertakes review of Cluster Operational Risk Register • People and Organisational Development (P&OD) enabling effective people management, support and development • Guidance for managers and staff on People Anytime • Delivery of the Workforce Plan 	<ul style="list-style-type: none"> • CMT Boards • Council Committees • Corporate Management Team (CMT) • Strategic Workforce Plan • Data Protection processes and Information Governance including DPIAs • Employment Legal Team • Consultation and legislative tracker to horizon scan for changes in the law • Risk Appetite Statement • Regular engagement with Trade Unions including Directors Union Engagement meetings • Business Continuity Sub-Group • Employee Data Forum 	<ul style="list-style-type: none"> • COSLA – national negotiating body via SJC and SNCT. • Scottish Government – checking compliance with national initiatives e.g. Early Years Expansion, Pupil Equity Fund • Chartered Institute of Personnel Development (CIPD) / ACAS-- professional bodies available for benchmarking / best practice advice and guidance • Society of Personnel and Development Scotland (SPDS) – professional body available for benchmarking / best

<ul style="list-style-type: none"> • Delivery of the Workforce Development Plan including training and development for managers • Capability Framework implementing Guiding Principles • Re.cr.uit Scheme - Internal Recruitment and Internal Movement of Staff • Monitoring of employee related data by P&OD and all Senior Management Teams via People Performance Dashboard • Skills audits and CPD plans used to build training requirements and programmes of development • Managers' completing Continuous Review and Development and 1:1s • Leadership Forum • FAIR agreement with Trade Unions • Temporary Movement of Staff Protocol • Learning Academy • Standardised people change / Adoption and Change Management plan template 		<p>practice advice and guidance and links into COSLA</p> <ul style="list-style-type: none"> • Her Majesty's Inspectorate of Education (HMiE) reports – use a sampling strategy for inspections across school leadership and learning and teaching • GTCS/SSSC- set out registration requirements for specific parts of the workforce • Employer Accreditations including Quality of Working Lives, Investors in Young People, Disability Confident, Defence Employer Recognition Scheme, Equally Safe at Work • Benchmarking through Local Government Benchmarking forum (LGBF) measuring indicators such of cost of HR gender profile and workforce profile across all 32 Local Authorities • Staffing Watch Report
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Assurance Map

Strategic Place Planning

Corporate Risk Register Risks:

1. **Climate Duties - Council Compliance** - Risk of non-compliance with public bodies duties under the Climate Change (Scotland) Act 2009. Duties require the Council to reduce emissions to contribute to national targets; adapt to climate change in contribution to the national adaptation programme; and report annually on this work.
2. **Climate Change (Place)** - Failure (where ACC has scope to influence), to contribute to a reduction in city-wide emissions and to address strategic climate risks for the city. These include heavy winter rainfall, flooding, a rise in sea level, reduction summer rainfall, higher temperatures.

Cluster Risk Register Risk:

1. **Strategic Plan Delivery – SPP** - Failure to deliver key strategic plans – staff and process restructuring risks

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 • Team Managers 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 • Operational plans and guidance including surveys, monitoring, committee reporting • Contract Management Guidance, policies and Procurement Regulations • Environmental risks (including climate risks) incorporated in project plans, 	<ul style="list-style-type: none"> • CMT Boards • Council Committees • Council Climate Change Plan, Climate Adaptation Framework (Aberdeen Adapts) • Net Zero Leadership Board and Net Zero Transition Delivery Unit - Aberdeen • Oversight Group for the Council Climate Change Plan meets monthly to review progress and report to the Performance Board. • Senior Management Team undertakes review of Cluster Operational Risk Register and monthly budget and contract management • Oversight on service KPIs 	<ul style="list-style-type: none"> • Internal Audit - Climate Change • Annual Climate Change report (Public Bodies Climate Change Duties) submitted to Scottish Government • Regional and National reports from Scottish Government, UK Government and SEPA • Scottish Government performance review and reports • Community Planning Aberdeen Board (CPA Board) • Local Outcome Improvement Plan (LOIP) • Participation in external quality system inspection programme Customer service Excellence

<p>business cases, committee reporting and guidance</p> <ul style="list-style-type: none"> • Emergency plans • Community involvement • Cross Service protocols and training events • Joint working with internal/external resources and services • Internal / external communication and networking • Committee reporting • LOIP objectives • Maintaining an awareness of current statutory requirements through receiving regular updates from Scottish Government and attending specific events 	<ul style="list-style-type: none"> • Health and Safety guidance for services, including Lone Working • Identified health and safety team link for all teams • Contract review by Demand Management Board • Inclusion in plans, programmes, strategies including those for flooding, Aberdeen Local Development Plan, Local Transport Strategy, Local Housing Strategy, Aberdeen Open Space Strategy, Aberdeen Food Growing Strategy • Local Outcome Improvement Plan (LOIP) • Customer Service Excellence accreditation • KPI's management established 	<ul style="list-style-type: none"> • Annual reporting of Risk Registers to Committee • Economic Policy Panel • APSE benchmarking • Local Resilience Partnership undertaking resilience planning and preparedness across all partners • Climate on agenda City Resilience Group • Monitoring of current and future climate risks affecting Aberdeen, in line with UK Climate Projections. • Adaptation Capability Framework
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