

Aberdeen Sports Village - Appendix E

Area of Assurance	Assurance Request	ALEO Response and Hub Commentary	Risk Rating
Governance	<p>Assurance that all governance documentation is regularly reviewed and supports the organisation's governance framework. The following are examples of documents which may be requested:</p> <ul style="list-style-type: none"> - Delegated powers - Codes of Conduct - Procurement Regulations 	<p>ASV have advised that the Head of Finance is currently reviewing all finance policies and procedures and that an updated Financial Regulations and Procedure document would be available next cycle which would cover the governance documents requested. The Hub therefore agreed to request this for the next cycle.</p> <p>In terms of training and induction for new Board members, the Hub noted that while documentation had not been provided as to the current training process, this was due to the process currently being reviewed. It was noted that the Board members had been consulted on areas for development. The Hub noted that this review was due to be complete by December 2022 and agreed to follow up on this next cycle.</p> <p>The Hub noted that there were no code of conduct matters to be reported.</p> <p>The Hub noted that there was regular provision of data protection and data management training, with 200 members of staff trained in 2021-2022. The Hub further noted that a new DPO had been appointed as of 5 October and a review would be undertaken of existing processes and procedures. The Hub were advised that ASV expected that the review and subsequent update of the action plan would take into the New Year to complete and agreed to request further details of this at a future cycle.</p>	Low
	Complaints Procedure	<p>The Hub noted that a comprehensive complaints procedure was available, which aligned to the MCHP and included all necessary information to support customers in making a complaint, including clear detail of what could not be addressed through the complaints procedure and signposting to relevant organisations for support.</p>	Very low
	<p>Assurance that risks are being regularly reviewed in accordance with the organisation's agreed risk management policy, are kept under regular review with control actions monitored to completion, and are linked to the achievement of outcomes for the ALEO and the Council.</p>	<p>ASV continue to demonstrate effective risk recording and management arrangements.</p> <p>A copy of the September 2022 Business Risk Report to the Board was provided along with a copy of the Risk Register and the format of the register and risk categorisation is consistent with the last review.</p> <p>The report to Risk Report to the board noted that the residual risk scored in the "Top 5" risks had increased, one risk has been removed from the register whilst two new risks have been added including a risk associated with the Cost of Living which could result in reduction in customer numbers and associated income. Existing risk scores relating to Increased Energy Costs and Increased Expenditure Demands have been increased and reflects ASV's current operating climate.</p>	Very Low - No Change

Risk Management	Assurance that ALEOs are actively considering risk appetite in their decision making.	ASV confirmed that the Board has agreed that they are satisfied with existing Risk Management arrangements and that a separate Risk Appetite Statement is not a business requirement at this time. The Hub accepts this decision and will look for evidence of risk appetite assessment in decision making and the management of risk in the next report cycle. ASV advised that the existing risk assessment policy is currently under review and may be updated to reflect business risk as in addition to Health and Safety risks. The Hub will follow up on this review at the next reporting cycle.	Very Low
	Assurance that appropriate business continuity arrangements are in place including testing and exercising arrangements or schedules; that each organisation has an awareness of the Council's responsibilities as a Cat 1 responder under the Civil Contingencies Act and has agreed mechanisms in place to support these; and that each organisation is fully conversant with the implications for their operations of the CONTEST Strategy (UK Govt strategy for counter-terrorism)	ASV confirmed that Business Continuity arrangements are supported by the Critical Incident Plan which is subject to an annual review. A review of the plan is underway and will include a review of Business Impact assessments and plan testing frequency. ASV confirmed that the updated documentation will be available for the Hub to review at the next reporting cycle. ASV noted that Business Continuity arrangements have been testing on a "live" basis as plans had been activated and used effectively during the pandemic to respond to events such as facility closures, staffing shortages and facility re-opening. ASV confirmed that the testing frequency and a review business impact assessments is currently underway. The Hub will follow up on this review at the next reporting cycle.	Very Low (no change)
Finance	Assurance that accounts are being managed within budget, that the level of financial risk to the Council is low and that there is compliance with the Following the Public Pound Code of Practice.	The Hub noted that financial monitoring data is provided to the Board on a regular basis. It was seen that information provided is both timeous and detailed and discussions take place around potential business risks and mitigation where required/possible	Very Low (No change)
	Assurance that ALEOs undertake medium-term financial planning or have incorporated medium term planning into a Business Plan to provide assurance that ALEOs are prepared for core funding pressures. Again this ensures compliance with the Following the Public Pound Code of Practice.	This was reviewed as part of the June ALEO report and found to be reasonable. This is supported by regular monitoring and forecasting data being reviewed by the Board and Funding partners	Medium (No Change)
	Assurance that accounts are being managed within budget, are in line with statutory requirements and Following the Public Pound Code of Practice, and that the level of financial risk to the Council is low.	The Hub noted that as the financial year for ASV ends on June 2022, no draft annual accounts are available at this time, although financial data for the year has been provided which would indicate, subject to audit, that ASV achieved a break even position	Low (No change)