

ABERDEEN CITY COUNCIL

COMMITTEE	Staff Governance Committee
DATE	16 June 2025
EXEMPT	No
CONFIDENTIAL	No
REPORT TITLE	Cluster Risk Register and Assurance Map
REPORT NUMBER	CORS/25/147
EXECUTIVE DIRECTOR	Andy MacDonald, Director – Corporate Services
CHIEF OFFICER	Isla Newcombe, Chief Officer – People and Citizen Services
REPORT AUTHOR	Isla Newcombe, Chief Officer – People and Citizen Services
TERMS OF REFERENCE	General Delegation 8.4

1. PURPOSE OF REPORT

- 1.1 To present the Assurance Map in accordance with Staff Governance Committee Terms of Reference to provide assurance that workforce related risks are being managed effectively within the People and Citizen Services Cluster.

2. RECOMMENDATION

That the Committee note the Assurance Map set out in Appendix 1.

3. CURRENT SITUATION

- 3.1 The Risk Management Policy Framework states that all committees should receive assurance on the risk management arrangements which fall within their terms of reference. This is provided through the risk registers for the relevant Clusters which fall within the remit for this Committee as detailed below:

- People and Citizen Services (Workforce related risks)

- 3.2 The Audit, Risk and Scrutiny Committee is responsible for overseeing the overall system of risk management and for receiving assurance that the Extended Corporate Management Team (ECMT) are effectively identifying and managing risks. Reviewing the strength and effectiveness of the Council's system of risk management as a whole is a key role for the Committee.

Risk Registers

- 3.3 The Council's Risks Registers are tools used by Functions and Clusters to capture and manage the risks which could prevent achievement of organisational outcomes and service delivery.

- 3.4 The Council's Corporate Risk Register (CRR) captures the risks which pose the most significant threat to the achievement of the Council's organisational outcomes and have the potential to cause failure of service delivery. The CRR is scrutinised annually by the Audit, Risk and Scrutiny Committee.
- 3.5 At the present time, there are no Cluster level Workforce related risks within the People and Citizen Services Cluster and as this was the case in 2024, there are no comparisons with previous risk scores to be reported at this level. There is therefore no Cluster risk register to present to Committee.
- 3.6 Cluster Risk Registers provides the organisation with the detailed information and assessment for each risk identified including;
- **Current risk score** – this is current assessment of the risk by the risk owner and reflects the progress percentage of control actions required in order to achieve the target risk score.
 - **Target risk score** – this is the assessment of the risk by the risk owner after the application of the control actions. This is aligned with the risk appetite for this particular category of risk.
 - **Control Actions** – these are the activities and items that will mitigate the effect of the risk event on the organisation.
 - **Risk score** – each risk is assessed using a 4x6 risk matrix as detailed below.

The 4 scale represents the impact of the risk and the 6 scale represents the likelihood of the risk event.

Impact		Score					
Very Serious	4	4	8	12	16	20	24
Serious	3	3	6	9	12	15	18
Material	2	2	4	6	8	10	12
Negligible	1	1	2	3	4	5	6
Score		1	2	3	4	5	6
Likelihood		Impossible	Almost Very Low	Low	Significant	High	Very High

- 3.7 Development and improvement of the Cluster Risk Registers and associated risk management processes has continued since the Cluster Risk Register was last reported to Committee:
- The Council's Risk Appetite Statement (RAS) was reviewed and updated.
 - Work to complete the recommendations from the internal audit of the Council's Risk Management arrangements including enhancements to

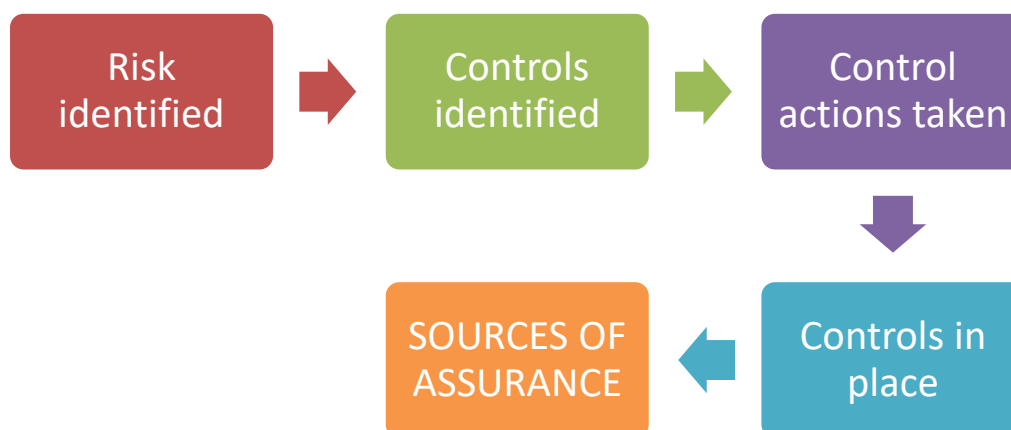
Cluster Risk Management reporting which are incorporated within this report.

- On-going improvements and updates to the “Managing Risk” pages published on the Council’s intranet pages which contains information and links for officers and elected members on the Council’s RAS, Risk Management Policy, Guidance and Training. This supports the further embedding of our risk management culture and ensures that everyone knows the part they play in managing risks within the wider system.
- Risk owners and leads continue to review and update risk registers to improve monitoring and reporting across the organisation. These are mechanisms which reflect the day-to-day business of assessing and mitigating the risks and opportunities inherent in delivering public services.

Assurance Maps

- 3.8 The risk registers which are reviewed by the Council’s Committees detail the risks identified within each of the relevant Functions and Clusters and provide detail of the risk, the potential impact and consequence of the risk materialising and the control actions and activities required to manage and mitigate the risk. Assurance Maps as set out in appendix 1 provide a visual representation of the sources of assurance associated with each Cluster so that the Committee can consider where these are sufficient. Sources of assurance are controls which are fully effective, following the completion of control actions.

Presentation of each Cluster’s assurance map provides full sight of the defences we have in place as an organisation to manage the risks facing local government.



- 3.9 The Assurance Map provides a breakdown of the sources of assurance within “three lines of defence”, the different levels at which risk is managed. Within a large and complex organisation like the Council, risk management takes place in many ways. The Assurance Map is a way of capturing the sources of assurance and categorising them, thus ensuring that any gaps in sources of assurance are identifiable and can be addressed:

First Line of Defence “Do-ers”	Second Line of Defence “Helpers”	Third Line of Defence “Checkers”
The control environment; business operations performing day to day risk management activity; owning and managing risk as part of business as usual; these are the business owners, referred to as the “do-ers” of risk management.	Oversight of risk management and ensuring compliance with standards, in our case including ARSC as well as CMT and management teams; setting the policies and procedures against which risk is managed by the do-ers, referred to as the “helpers” of risk management.	Internal and external audit, inspection and regulation, thereby offering independent assurance of the first and second lines of defence, the “do-ers” and “helpers”, referred to as the “checkers” of risk management.

People and Citizen Services Risk Overview

- 3.10 As a Senior Management Team, as part of our governance arrangements we consider risk on a regular basis, and horizon scan forthcoming legislation (or any other source) for any potential risk, as well as taking account of any audit recommendations that arise that have risk implications. Should any risk(s) be identified, we would take the necessary actions to add into our Cluster risk register.

4. FINANCIAL IMPLICATIONS

- 4.1 There are no direct financial implications arising from the recommendations of this report. This report deals with risk management at Cluster level and this process serves to identify controls and assurances that finances are being properly managed.

5. LEGAL IMPLICATIONS

- 5.1 There are no direct legal implications arising from the recommendations of this report. The Council’s Risk Registers serve to manage many risks with implications for the legal position and statutory responsibilities of the Council.

6. ENVIRONMENTAL IMPLICATIONS

- 6.1 There are no direct environmental implications arising from the recommendations of this report.

7. RISK

- 7.1 There are no risks arising from the recommendations in this report. The Committee is provided with assurance that any risks presented within the Cluster Risk Register that may affect achievement of organisational outcomes and delivery of services for each Cluster are identified, appropriately managed and that the Council’s activities are compliant with its statutory duties.

Category	Risks	Primary Controls/Control Actions to achieve Target Risk Level	*Target Risk Level (L, M or H) *taking into account controls/control actions	*Does Target Risk Level Match Appetite Set?
Strategic Risk	The council is required to have a management system in place to identify and mitigate its risks.	The council's risk management system requires that risks are identified, listed and managed via Risk Registers.	L	Yes
Compliance	As above.	As above.	L	Yes
Operational	As above.	As above.	L	Yes
Financial	As above.	As above.	L	Yes
Reputational	As above.	As above.	L	Yes
Environment / Climate	As above.	As above.	L	Yes

8. OUTCOMES

- 8.1 The recommendations within this report have no direct impact on the Council Delivery Plan however, the risks contained within the Council's risk registers could impact on the delivery of organisational outcomes.

9. IMPACT ASSESSMENTS

Assessment	Outcome
Integrated Impact Assessment	It is confirmed by the Interim Chief Officer – Governance that no Integrated Impact Assessment is required.
Data Protection Impact Assessment	Not required
Other	Not applicable

10. BACKGROUND PAPERS

- 10.1 None

11. APPENDICES

- 11.1 Assurance Map – People and Citizen Services (People Services)

12. REPORT AUTHOR CONTACT DETAILS

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Appendix 1 – Assurance Map – People & Citizen Services (People Services)

Assurance Map Cluster - People & Citizen Services (People Services)		
Corporate Risk Register Risk:		
1. Workforce Resilience Risk that a reduced workforce due to budget pressures, as well as external factors such as hard to fill roles or national policies may impact workforce resilience, our capacity and ability to deliver services, and in turn lead to reductions in service delivery and outcomes and an increase in Trade Union activity with the potential for industrial action.		
First Line of Defence (Do-ers)	Second Line of Defence (Helpers)	Third Line of Defence (Checkers)
<ul style="list-style-type: none"> Staff and managers implementing related procedures and guidance flowing from policies and ACC Workforce Delivery Plan People Services delivery against Workforce Delivery Plan Risk Assessment of people-related risks by staff and managers People Services enabling effective people management, support and development through relevant advice to managers Managers undertaking relevant training and development Monitoring of employee-related data by People Services and all Senior Management Teams via People Performance Dashboard Skills audits and professional development plans used to build training requirements and programmes of development 	<ul style="list-style-type: none"> People related policies and procedures Relevant guidance for managers and staff available on People Anytime (staff intranet) ACC Workforce Delivery Plan Management and Leadership Training and Development Opportunities Job Families and Capability Framework Re.cr.uit Scheme - Internal Recruitment and Internal Movement of Staff FAIR agreement with Trade Unions Regular engagement with Trade Unions including Directors Union Engagement meetings/LNCT Outlined approaches to trade union and staff engagement and consultation (business case and adoption and change management approaches) Temporary Movement of Staff Protocol E-learning system 	<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 practice advice and guidance and links into COSLA Her Majesty's Inspectorate of Education (HMiE) reports – use a sampling strategy for inspections across school leadership and learning and teaching Disclosure Scotland – monitoring requirements for work with vulnerable groups

<ul style="list-style-type: none"> • Managers engaging staff and trade unions during change in line with our people change procedures and approach • Managers completing Continuous Review and Development and 1:1s • Leadership Forum • Staff and managers completing mandatory training requirements • Reporting of mandatory training completion and exception actions by managers 	<ul style="list-style-type: none"> • Employee Assistance Programme and Occupational Health provider to support staff eg those reporting stress • Quality of Working Lives Stress Risk Assessments <ul style="list-style-type: none"> • Mental Health Action Plan and Substance Misuse Action Plan • Mental Health First Aid Network • Your Care online wellbeing staff portal • Wellness Action Plans • Reasonable Adjustment Passports • Corporate Boards • Council Committees • Corporate Management Team (CMT) • 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 • Business Continuity Sub-Group • Employee Data Forum • Utilisation of RPA for council processes 	<ul style="list-style-type: none"> • Home Office – monitoring requirements for right to live/work in UK • ICO – monitoring data breaches and any related investigations • GTCS/SSSC- set out registration requirements for specific parts of the workforce • Employer Accreditations including Quality of Working Lives, Young Person's Guarantee, 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 (Statutory Performance Indicators) • Equality Outcomes Mainstreaming Report • Staffing Watch Report • Internal Audit Assurance Review Outcomes/ Recommendations • Employee Experience Survey and Wellbeing Pulse Checks • Data Gathering and Analysis
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