

Appendix A: Above tolerance Strategic Risks

AMT Owner	Ref	Risk Description (vulnerability)	Current Controls	Impact	Likelihood	Further Mitigation Plans	Date
Andrew Stokes	SRRT - 2	Delivery of MTFP through the Efficiency and Rationalisation Strategy	Effective programme and project management methodology for the transformation programme. Performance Management Framework monitors the achievement of Council Aims. 2017/18 efficiency savings targets have been met (Yr 1). Nov 2018 - efficiencies are on track.	4	3	1. Monthly Transformation Board meetings to oversee key projects linked to the efficiency and rationalisation strategy e.g. housing delivery programme to facilitate growth and the various income generation projects. 2. Accelerated procurement projects including environmental services, leisure centres and facilities management. 3. Mid year review of MTFP which recognises the continuing uncertainties around local government finance (NHB, BRRS).	1. On-going 2. As per project milestones 3. MTFP - Feb 2019
Andrew Stokes	SRRT - 5	Effective contract management	1. Contract register in place. 2. Clear specification at the point of contract appointment e.g. KPIs. 3. Allocated contract manager within service areas. 4. Pre-qualification checks. 5. Due diligence undertaken. 6. Insurance requirements. 7. Bond guarantee for larger contracts.	5	3	1. Procurement Business Partner meetings with Service Managers have a contract management focus and will provide prompts for ongoing contractor checks needed e.g. insurance reviews. 2. Updated Procurement Strategy will have an enhanced focus on contract management, including a new Toolkit for use by contract managers. 3. Implement the contract management module of	1. Held quarterly. 2. By March 2019. 3 and 4. During 2019/20.

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						the e-tendering system to help with contract monitoring. 4. Carry out a risk-prioritisation exercise for major contracts and conduct annual financial health checks against the most critical contractors.	
Dai Larner	SRRT - 6	External funding for growth / regeneration schemes	1. Pre-Brexit bids have been guaranteed. 2. Lobbying of LEP for future funding and investment.	4	3	1. Seek alternative funding sources e.g. Homes England. 2. Consider the feasibility of utilising the Council's borrowing ability to finance key schemes.	1. Linked to accelerated housing delivery programme 2. As dictated by project timescales
Mark Trillo	SRRT - 9	Safeguarding children and vulnerable adults – fulfilling our legal duty	1. Revised Joint Policy in place for Safeguarding Children and Vulnerable Adults. 2. Council is a member of the District Safeguarding Network (Staffs).3 All staff have been briefed on the safeguarding policy and identified staff have received level 1 training in safeguarding children. 4. Training on adult safeguarding has been provided to key staff members.	5	2	The Alliance Safeguarding Group meets quarterly to manage risks. All staff members receive training according to a rolling -programme linked to their level of risk. The Safeguarding Policy and actions are reviewed annually though a report to Elected Members	On-going
Andrew Stokes	SRRT - 13	Investment into council assets and long term planning	The completion of a full building condition survey of all public buildings. High level report	5	3	Complete essential H&S and structural works to properties whilst the strategic review is	To be completed March 2019.

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			issued to Corporate Select in July 16. Working Group being established to assist with the formulation of a new strategic asset management plan.			ongoing. A 12 month process to undertake the analysis and decisions required for the implementation of a new strategy. The health and safety works are on-going and the asset management plan is currently being finalised.	
Andrew Stokes	SRRT - 17	Cyber risk and IT Security	1. ICT security policy 2. Staff training (ICT Use 2018) 3. Annual health checks - December 2017 was the last one. 4. IT strategy infrastructure review completed and IT Infrastructure project completed.	4	3	1. Develop an IT / Digital Strategy providing direction for the alliance in the medium term 2. Regular training and communication updates 3. 2018 external health check to test out the robustness of our IT security.	1. Strategy to AMT Feb 2019 2. GDPR online training late 2018 / early 2019. 3. Health check Mar 2019.