

## Appendix A: Above tolerance Strategic Risks

ALT Owner	Ref	Risk Description (vulnerability)	Current Controls	Impact	Likelihood	Further Mitigation Plans	Date
Exec Director – Finance & Customer Services	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. MTFP assessing the resilience of savings taken to date in the light of CV-19 lasting effects (especially in respect of Leisure procurement)- part of annual twice yearly update of the MTFP.	4	4	1. Monthly Transformation Board meetings to oversee key projects linked to the efficiency and rationalisation strategy e.g. housing delivery programmes to facilitate growth and the various income generation projects. 2. Continuation of major procurement projects following on from completion of AES implementation (e.g. facilities management). 3. MTFP review (Sept 2021 & Feb 2022) to consider the need for a new E&R Plan arising out of lasting financial effects of CV-19.	1. ongoing 2. As per project milestones 3. MTFP review Feb 2022
Exec Director of Commission / Governance	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 / Financial Security guarantee for high value / high risk larger contracts. 8. Ensure Payments to suppliers are processed in accordance with the terms of the appointments (to ensure cash flow in supply chain).	5	3	1. Procurement Business Partner meetings with Service Managers have a contract management focus and will provide prompts for ongoing contractor checks needed 2. Updated Procurement Strategy will have an enhanced focus on contract management, including a new Toolkit for use by contract managers. 3. Carry out a risk-prioritisation exercise for major contracts and conduct annual financial health checks against the most critical contractors. 4. Monitor key strategic suppliers in light of CV-19 impact on business model 5. Specific close monitoring and liaison	1. Held quarterly 2. Dec 2021. 3., 4. and 5. during 2020-21.

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						with Parkwood Leisure. Regular dialogue, open book accounting, cost plus arrangement in place.	
Exec Director of Commission / Governance	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 through a report to Elected Members	Ongoing
Exec Director of Place	SRRT - 12	Investment into council assets and long-term planning	Asset register on spreadsheet databases and PDF docs. Ownership information within land terrier format. Capital spend identified broadly on MTFP only based on historic condition data from 5 years ago.	5	3	1. Implementation of the Assets Database (Concerto) has commenced and is being overseen by the Transformation Board. Base data on phase 1 & 2 sites is complete. Configuration and training workshops still ongoing. Discussions with Norse required to determine potential operational use. 2. Concertus have commenced stock condition project. Data collection due to be complete by mid-Jan 22. Energy audits of key buildings to be undertaken before 1st Jan 22. 3. Asset Management Plan (AMP) to be worked through to determine the level and extent of capital schemes	1. 01.09.2021 2. 01.02.2022 3. 01.7.22

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						and planned maintenance following the condition survey data and energy audit data.	
Exec Directors of Place and Service Comm / Governance	SRRT - 13	Meeting the environmental regulatory framework (e.g. air quality, waste regs and carbon reduction targets)	1. Air quality monitoring equipment deployed and analysed externally. 2. Current service methodology assessed in regards to TEEP in 2015 3. Significant service change should be raised at Shareholder or Commissioning Board meetings, a revised TEEP assessment will be conducted as part of the councils considerations of service changes. 4. AES contract enables a "change notice" to be issued by either Council or Contractor, for a significant change to service. 5. Air Quality Plan approved by members Nov 2019, with regular update reports to scrutiny. 6. Declared climate emergency and working group in place. 7. Part 1 of climate plan of action agreed.	4	3	1. Implement actions outlined in Air Quality Plan and submit yearly progress report (service review in EH to address resource issues). 2. Committee approval would be required for a service methodology change, associated risks would be detailed in any report and a TEEP assessment completed. 3. Monthly contract meeting would provide further opportunity for service change discussions. 4. Publish Part 2 of climate action plan to meet the 2030 carbon-neutral targets.	1. 2021 2. Waste - Shareholder meetings occur quarterly. 3. Waste - Commissioning Board meetings occur twice per annum, 4. Part 2 Action Plan in place by Nov 2021.
Exec Director – Finance and Customer Services	SRRT - 15	Financial and Legislative impacts from world events e.g., Brexit	Keeping abreast of international developments from professional networks / sources	4	4	1. keep abreast of Brexit progress and respond to legislative impacts accordingly. 2. Treasury management strategy is regularly reviewed 3. Multi-agency emergency planning preparations and business	1 and 2. ongoing 3. Regular comms with Local Resilience Forums 4. In

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						continuity planning 4. Co-ordinated strategic COVID-19 response as part of declared major incident	place from March 2020
Chief Executive	SRRT - 16	Cyber risk and IT Security	1. ICT security policy 2. Staff training (ICT Use 2018) 3. Annual health checks. 4. IT strategy infrastructure review completed and IT Infrastructure project completed. 5. Healthcheck completed March 2020 with no issues. 6. Microsoft Licence audit completed, again with no compliance issues. Infrastructure health check underway - Sept 2019 7. New Microsoft Licensing Agreement in place. 8. Cyber security funding of £6k received from the IDEA in May 2020. 9. New IT contact in place from the 1st April 2021 for 3+1+1 years.	4	3	1. Develop an IT / Digital Strategy providing direction for the alliance in the medium term 2. Regular training and communication updates 3. Socitm commissioned to do a strategic review, which will involve IT security arrangements and will inform the procurement of a new IT contract. Socitm have now completed the review and are also assisting with the strategy development. 4. Cyber Risk Health Check undertaken by external risk specialists and report to risk group. 5. New IT/Digital strategy being drafted which will incorporate the findings from the Cyber Security audit and produce an action plan.	1. Strategy - 2021 2. Ongoing. 3. New IT Contract due April 2021 4. Complete by June 2021, report august 2021. 5. Nov 2021
Chief Executive	SRRT - 17	Employee wellbeing negatively affected	1. HR policies and procedures. 2. Staff counselling services 3. Flexible working hours 4. Internal communication channels well embedded. 5. MS Teams rolled out.	4	3	1. Develop and implement an Agile Working Policy, feedback from union received final draft now complete for approval and rollout. Staff working group has been set up and have met and following feedback from staff and union an implementation guidance document is currently being drafted it has been	1 and 2. During 2021

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						<p>agreed with the union that following implementation of the policy we will monitor closely to address any issues immediately.</p> <p>2. Introduction of Mental Health First Aiders and review of mental health and wellbeing policies is on the agenda for the next Health and Safety committee. Staff communications have continued to promote mental health and wellbeing with sign posting to support including the staff counselling service.</p>	