

## Appendix A: Above tolerance Strategic Risks

ALT Owner	Ref	Risk Description (vulnerability)	Current Controls	Further Mitigation Plans
M. Owen	SRRT - 2	Delivery of MTFP through the Efficiency and Rationalisation Strategy  Impact – 4 Like – 4	Effective programme and project management methodology for the transformation programme. Performance Management Framework monitors the achievement of Council Aims. Current efficiency programme savings substantially complete at HPBC. Annual financial planning cycle includes 2 updates of the MTFP (Oct/ November & February) revising assumptions and known spending pressures to arrive at best reflection of the financial position over the medium term. Assessment made of sustainability of plan and likely impact on reserves levels.	<ol style="list-style-type: none"> <li>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.</li> <li>2. Continuation of major procurement projects following on from completion of AES implementation (e.g. facilities management).</li> <li>3. MTFP review (Oct/Nov &amp; Feb)</li> <li>4. Review future savings potential in context of a revised Efficiency Plan.</li> </ol>
M. Trillo	SRRT - 5	Effective contract management  Impact – 5 Like – 3	<ol style="list-style-type: none"> <li>1. Contract register in place.</li> <li>2. Clear specification at the point of contract appointment e.g. KPIs.</li> <li>3. Allocated contract manager within service areas.</li> <li>4. Pre-qualification checks.</li> <li>5. Due diligence undertaken.</li> <li>6. Insurance requirements.</li> <li>7. Bond / Financial Security guarantee for high value/ high risk larger contracts.</li> <li>8. Ensure Payments to suppliers are processed in accordance with the terms of the appointments (to ensure cash flow in supply chain).</li> </ol>	<ol style="list-style-type: none"> <li>1. Procurement Business Partner meetings with Service Managers have a contract management focus and will provide prompts for ongoing contractor checks needed.</li> <li>2. Updated Procurement Strategy will have an enhanced focus on contract management, including a new Toolkit for use by contract managers.</li> <li>3. Carry out a risk-prioritisation exercise for major contracts and conduct annual financial health checks against the most critical contractors.</li> <li>4. Monitor key strategic suppliers in light of CV-19 impact on business model</li> <li>5. Specific close monitoring and liaison with Parkwood Leisure. Regular dialogue, open book accounting, cost plus arrangement in place.</li> </ol>
M. Trillo	SRRT - 9	Safeguarding duty  Impact – 5 Like - 2	<ol style="list-style-type: none"> <li>1. Revised Joint Policy in place for Safeguarding Children and Vulnerable Adults.</li> <li>2. Council is a member of the District Safeguarding Network (Staffs and Derby).</li> <li>3 All staff have been briefed on the safeguarding policy and identified staff have received level 1 training in safeguarding children.</li> <li>4. Training on adult safeguarding has been provided to key staff members.</li> </ol>	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

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			5. Call recording software introduced.	
N. Rodgers	SRRT - 12	Investment into council assets and long-term planning  Impact – 5 Like – 3	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.	1. Assets database has largely been completed - base data is included and stock condition is being entered by way of projects set out in point 2 below. Other tweaks and changes to the system will continue as BAU. 2. Concertus has commenced stock condition project. Data collection due to be complete by Spring 22. (Experienced covid delays) Energy audits of key buildings to be undertaken before end of Jan 22. 3. Asset Management Plan (AMP) to be worked through to determine the level and extent of capital schemes and planned maintenance following the condition survey data and energy audit data. Input from Norse required once JV has gone live. 4. Additional capacity to be included within new Assets team structure (to follow the Norse JV project) to focus on delivering strategic asset management strategy and planning.
N. Rodgers / M. Trillo	SRRT - 13	Meeting the environmental regulatory framework (e.g. air quality, waste regs and carbon reduction targets)  Impact – 4 Like – 3	1. Air quality monitoring equipment deployed and analysed externally. 2. Order under Sec 83 of Environment Act made declaring an Air Quality Management Area for part of Woodhead Road, Tintwistle. 3. Current service methodology assessed in regards to TEEP in 2015. 4. 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. 5. AES contract enables a "change notice" to be issued by either Council or Contractor, for a significant change to service. 6. Air Quality Plan approved by members Nov 2019, with regular update reports to scrutiny. 7. Climate action plan agreed.	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. Implement climate action plan to meet the 2030 carbon-neutral targets.

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M. Owen	SRRT - 15	Financial and Legislative impacts from world events e.g., Brexit  Impact – 4 Like – 4	Briefings from external auditors, Treasury advisors and Govt departments. Access to local intelligence networks on business trends and developments.	<ol style="list-style-type: none"> <li>1. Keep abreast of Brexit progress and respond to legislative impacts accordingly.</li> <li>2. Treasury management strategy is regularly reviewed.</li> <li>3. Multi-agency emergency planning preparations and business continuity planning.</li> <li>4. Co-ordinated strategic COVID-19 response as part of declared major incident.</li> </ol>
A. Stokes	SRRT - 16	Cyber risk and IT Security  Impact – 4 Like – 3	<ol style="list-style-type: none"> <li>1. ICT security policy.</li> <li>2. Staff training (ICT Use 2018).</li> <li>3. Annual health checks.</li> <li>4. IT strategy infrastructure review completed and IT Infrastructure project completed.</li> <li>5. Healthcheck completed March 2020 with no issues.</li> <li>6. Microsoft Licence audit completed, again with no compliance issues. Infrastructure health check underway - Sept 2019.</li> <li>7. New Microsoft Licensing Agreement in place.</li> <li>8. Cyber security funding of £6k received from the IDEA in May 2020.</li> <li>9. New IT contract in place from the 1st April 2021 for 3+1+1 years.</li> <li>10. New IT / Digital Strategy approved.</li> <li>11. Cyber Risk Health Check undertaken by external risk specialists and reported to risk group.</li> </ol>	<ol style="list-style-type: none"> <li>1. Develop an action plan for the new IT / Digital Strategy in conjunction with NEC and Socitm.</li> <li>2. Regular training and communication updates.</li> <li>3. High Priority findings from the Cyber Risk Health Check currently being implemented.</li> </ol>
A. Stokes	SRRT - 17	Employee wellbeing negatively affected  Impact – 4 Like – 3	<ol style="list-style-type: none"> <li>1. HR policies and procedures.</li> <li>2. Staff counselling services.</li> <li>3. Flexible working hours.</li> <li>4. Internal communication channels well embedded.</li> <li>5. MS Teams rolled out.</li> <li>6. Agile working policy approved and implemented.</li> <li>7. Staff communications have continued to promote mental health and wellbeing with sign posting to support including</li> </ol>	<ol style="list-style-type: none"> <li>1. Agile Working Policy - it has been agreed with the union that following implementation of the policy we will monitor closely to address any issues immediately.</li> <li>2. Implement training for Mental Health First Aiders (nominations received).</li> </ol>

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			the staff counselling service.	
M. Owen	SRRT - 18	<p>Failure to meet the new regulatory requirements proposed in relation to the provision of social housing (landlord role)</p> <p>Impact – 4 Like – 3</p>	<ol style="list-style-type: none"> <li>1. Multi-disciplinary Officer Working Group established and action plan developed to help identify areas in need of improvement to meet potential compliance framework.</li> <li>2. TPAS commissioned to carry out tenant engagement activities.</li> <li>3. New set of management KPIs as part of the NORSE contract, covering H&amp;S.</li> <li>4. Fully compliant on complaints requirements</li> </ol>	<ol style="list-style-type: none"> <li>1. Further develop and implement the Action Plan.</li> <li>2. Maintain focus on the emerging regulations .</li> </ol>