

## Appendix A: Above tolerance Strategic Risks

ALT Owner	Ref	Risk Description (vulnerability)	Current Controls	Further Mitigation Plans
Martin Owen	SRRT - 2	Delivery of MTFP through the Efficiency and Rationalisation Strategy  Impact – 4 Likelihood – 4	<ol style="list-style-type: none"> <li>1. Effective programme and project management methodology for the transformation programme.</li> <li>2. Performance Management Framework monitors the achievement of Council Aims.</li> <li>4. Monitoring financial performance throughout year in Quarterly reports.</li> <li>5. Annual financial planning cycle includes 2 updates of the MTFP (Oct/ November &amp; February) revising assumptions and known spending pressures to arrive at best reflection of the financial position over the medium term.</li> <li>6. Assessment made of sustainability of plan and likely impact on reserves levels.</li> <li>7. Enhanced modelling of scenarios to be introduced in the 2023/24 MTFP revision building on recommendations of Peer Review.</li> </ol>	<ol style="list-style-type: none"> <li>1. Monthly Transformation Board meetings to oversee key projects linked to the new efficiency and rationalisation strategy e.g. Income Generation projects; Asset rationalisation; Staffing and recruitment; Council-owned company activity.</li> <li>2. MTFP review (Oct/Nov &amp; Feb)</li> <li>3. Develop future savings potential in context of revised Efficiency Plan.</li> </ol>
Mark Trillo	SRRT - 5	Effective contract management  Impact – 5 Likelihood – 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>
Mark Trillo	SRRT - 9	Safeguarding duty  Impact – 5 Likelihood - 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).</li> <li>3. All staff have been briefed on the safeguarding policy and</li> </ol>	<ol style="list-style-type: none"> <li>1. The Alliance Safeguarding Group meets quarterly to manage risks.</li> <li>2. All staff members receive training according to a rolling - programme linked to their level of risk.</li> <li>3. The Safeguarding Policy and actions are reviewed annually</li> </ol>

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			<p>identified staff have received level 1 training in safeguarding children.</p> <p>4. Training on adult safeguarding has been provided to key staff members.</p> <p>5. Call recording software introduced.</p> <p>6. Safeguarding case management system introduced</p>	through a report to Elected Members
Neil Rodgers	SRRT - 12	<p>Investment into council assets and long-term planning</p> <p>Impact – 5 Likelihood – 3</p>	<p>1. Asset register on spreadsheet databases and PDF docs.</p> <p>2. Ownership information within land terrier format.</p> <p>3. Capital spend identified broadly on MTFP only based on historic condition data from 5 years ago.</p>	<p>1. Assets database has largely been completed - base data is included and stock condition is being entered by way of projects. Other tweaks and changes to the system will continue as BAU.</p> <p>2. Energy audits and stock condition surveys now complete.</p> <p>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 now JV has gone live.</p> <p>4. Interim officer currently working on revised asset management plan prioritising high value and high-risk assets first. Each asset will be detailed under the plan with assessment of revenue and capital costs within the MTFP to allow for fact based strategic decision making to be made.</p>
Neil Rodgers / Mark Trillo	SRRT - 13	<p>Meeting the environmental regulatory framework (e.g., air quality, waste regs and carbon reduction targets)</p> <p>Impact – 4 Likelihood – 3</p>	<p>1. Air quality monitoring equipment deployed and analysed externally.</p> <p>2. Current service methodology assessed in regard to TEEP in 2015</p> <p>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.</p> <p>4. AES contract enables a "change notice" to be issued by either Council or Contractor, for a significant change to service.</p> <p>5. Air Quality Plan approved by members Nov 2019, with regular update reports to scrutiny.</p> <p>6. Climate action plan agreed.</p>	<p>1. Implement actions outlined in Air Quality Plan and submit yearly progress report (service review in EH to address resource issues).</p> <p>2. Committee approval would be required for a service methodology change, associated risks would be detailed in any report and a TEEP assessment completed.</p> <p>3. Monthly contract meeting would provide further opportunity for service change discussions.</p> <p>4. Implement climate action plan to meet the 2030 carbon-neutral targets.</p> <p>5. Review of Taxi Policy to align with Climate change targets</p> <p>6. Review of Street Trading to align with Climate change targets</p>
Martin	SRRT	Financial and	1. Briefings from external auditors	1. Remain abreast of post-Brexit progress and trading

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Owen	- 15	Legislative impacts from world events e.g., Brexit  Impact – 4 Likelihood – 4	<ol style="list-style-type: none"> <li>2. Treasury advisors and Govt departments to provide forward focused guidance</li> <li>3. Access to local intelligence networks on business trends and developments</li> <li>4. Close management and monitoring of budgets</li> <li>5. Insight based development of future MTFP</li> </ol>	<p>arrangements, respond to legislative impacts accordingly.</p> <ol style="list-style-type: none"> <li>2. Treasury management strategy is reviewed regularly</li> <li>3. multi-agency emergency planning preparations and business continuity planning</li> <li>4. Co-ordinated strategic COVID-19 response as part of any declared major incident (ready to be re-implemented should a further outbreak occur).</li> <li>5. Monitor impacts of fiscal and monetary policy, seeking expert analysis and opinion where appropriate</li> </ol>
Andrew Stokes	SRRT - 16	Cyber risk and IT Security  Impact – 4 Likelihood – 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. Health-check 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 contact in place from the 1st of 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> <li>4. Accreditation for Cyber Essentials currently under way.</li> </ol>
Andrew Stokes	SRRT - 17	Employee wellbeing negatively affected  Impact – 4 Likelihood – 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 the staff counselling service.</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. Completed training for Mental Health First Aiders and set up wellbeing hub on the intranet</li> </ol>

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