



AUDIT & REGULATORY COMMITTEE AGENDA

Date: Wednesday, 12 February 2025

Time: 6.30 pm

Venue: The Board Room, Pavilion Gardens, Buxton

You can view the agenda online by using a smart phone camera and scanning the code below:



4 February 2025

PART 1

5. Risk Management Update (**Pages 3 - 30**)

**MARK TRILLO
EXECUTIVE DIRECTOR AND MONITORING OFFICER**

Membership of Audit & Regulatory Committee

Councillor O Cross (Chair)

Councillor P Bell

Councillor J Collins

Councillor M Hall

Councillor P Reddy

Councillor M Taylor (Vice-Chair)

Councillor A Benham

Councillor N Gourlay

Councillor C Payne

Mrs H Burbidge

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HIGH PEAK BOROUGH COUNCIL

Report to the Audit and Regulatory Committee

12th February 2025

TITLE:	Risk Management Update (overview of strategic, operational and project risks)
EXECUTIVE COUNCILLOR:	Cllr Alan Barrow – Corporate Services and Finance
CONTACT OFFICERS:	Tanya Cooper - Head of OD & Transformation Julie Nankivell - Information Business Partner
WARDS INVOLVED:	Non-specific

Appendices Attached:

Appendix A: Strategic Risks (by exception)

Appendix B: Operational Risks (by exception)

Appendix C: Project Risks (by exception)

Appendix D: Opportunity Risks (all registers by exception)

1. Reason for the Report

- 1.1 The purpose of the report is to enable the Committee to seek assurance as to the adequacy of the Council's Risk Management arrangements in accordance with accepted good practice.

2. Recommendations

- 2.1 That the committee notes the Council's current risk position and the mitigation / fruition plans summarised within Appendix A (strategic risks), Appendix B (operational risks), Appendix C (project risks) and Appendix D (opportunity risks).

3. Executive Summary

- 3.1 The Council's Strategic, Operational and Project Risk Registers are reviewed by the Audit and Regulatory Committee on an exception basis. This report is based upon the Council's position as at December 2024.

- 3.2 The latest analysis of the Strategic Risk Register reveals that the Council has identified and assessed 22 strategic risks, of which 45% are rated as 'high' and therefore above the Council's risk tolerance threshold. The ten 'high' rated risks are listed in full at Appendix A.
- 3.3 The Operational Risk Registers reveal that the Council has identified and assessed 51 operational risks in total, of which 16 are rated as 'high' and therefore above the Council's risk tolerance thresholds. The details of all the significant changes can be found at paragraph 9. The risks falling within the 'high' category are listed in full at Appendix B.
- 3.4 The project risk registers currently cover 8 projects and the risk profile is bulleted below:
- 0% Critical
 - 28% High – 13 risks
 - 45% Medium – 21 risks
 - 28% Low – 13 risks

4. Evaluation of Options

- 4.1 There are no options to consider

5. How this report links to Borough Plan Priorities

- 5.1 Risk Management impacts on all service areas and therefore links to each of the Council's Borough Plan aims.

6. Implications

- 6.1 Community Safety including safeguarding and prevention of terrorism

None

- 6.2 Workforce

None

- 6.3 Equality and Diversity/Equality Impact Assessment

This report has been prepared in accordance with the Council's Diversity and Equality Policies

- 6.4 Financial Considerations

Effective Risk Management contributes to financial objectives

- 6.5 Legal

None

- 6.6 Climate Change and Sustainability
None
- 6.7 Conservation and Enhancement of Biodiversity
None
- 6.8 Consultation
None
- 6.9 Risk Assessment
The Council's Risk Registers are a critical element in the Council's Risk Management Framework.

ANDREW P STOKES
Chief Executive

Background Papers

Risk Registers December 2024

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7. Background and Introduction

- 7.1 The Council ensures that it undertakes a deliberate and systematic identification of the key risks that might prevent, degrade, delay or enhance the achievement of its objectives. The Council's Risk Management Strategy sets out the process for undertaking this on an ongoing basis.
- 7.2 In addition to the identification of risks, managers also have to quantify them in terms of likelihood and potential impact. The risks are then recorded in the Council's Risk Registers. These have three aspects – strategic, operational and project risks.
- 7.3 Under the Risk Management Strategy, the Council's 'risk tolerance' threshold is set along the border between 'medium' and 'high' rated residual risks. The Strategy stipulates that mitigating actions should be identified for all risks that exceed this threshold.
- 7.4 The Council's Strategic, Operational and Project Risk Registers are reviewed on a quarterly basis and reported into the Corporate Risk Management Group and the Audit and Regulatory Committee on an exception basis. The appendices provide details of all risks that have been rated as 'high' or above, and therefore beyond the Council's risk tolerance threshold.

8. Strategic Risks

- 8.1 The December 2024 review of the Strategic Risk Register reveals that the Council has identified and assessed 22 Strategic Risks, of which 45% are rated as 'high' and therefore above the Council's risk tolerance threshold.
- 8.2 A new medium rated strategic risk was added to the register during Q3 around the use of *Artificial Intelligence* and a new highly rated risk was added around delivery of the *30 year HRA business plan*.
- 8.3 The switch off the *Public Switch Telephone Network (PSTN)* has been increased to high due to the safety and financial risk linked to the potential failure of the aged telephony system used by the Carelink service.
- 8.4 The *Employee Wellbeing* risk has reduced to medium in light of staff survey results, increase in recruitment and regular appraisals.
- 8.5 There are four opportunity risks within the register – housing growth, business growth, commercialism (trading) and effective contractor relations, of which 3 are rated as 'high'. The alliance is working to reap the benefits from the opportunity risks.
- 8.6 The Council's risk profile is displayed below.

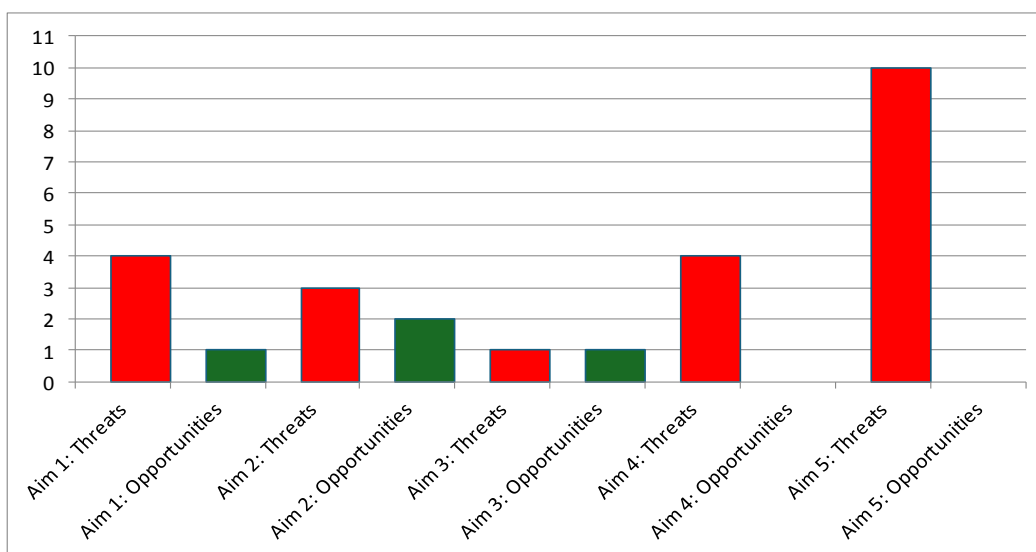
Residual Risk Rating	High Peak Risks	Alliance Risks	Total Risks
Critical	-	-	-
High	2	8	10
Medium	1	9	10
Low	-	2	2
Total Risks			22

8.7 The ten high rated risks are mapped on Matrix 1 and the three high rated opportunity risks are shown on Matrix 2.

Matrix 1 : Impact						
		1	2	3	4	5
Likelihood	5					
	4			- Delivery of the 30 yr HRA Business Plan	- MTFP - World Events	
	3				- IT Security - PSTN - Env Regs - Social Housing	- Contract Mngt - Investment into assets
	2					- Safeguarding duty
	1					

Matrix 2: Impact						
		5	4	3	2	1
Likelihood	5					
	4			- Effective contractor relations		
	3	- Housing & Business Growth				
	2					
	1					

8.8 The graphic below illustrates the risk profile of all threats and opportunities across our Borough Plan aims.



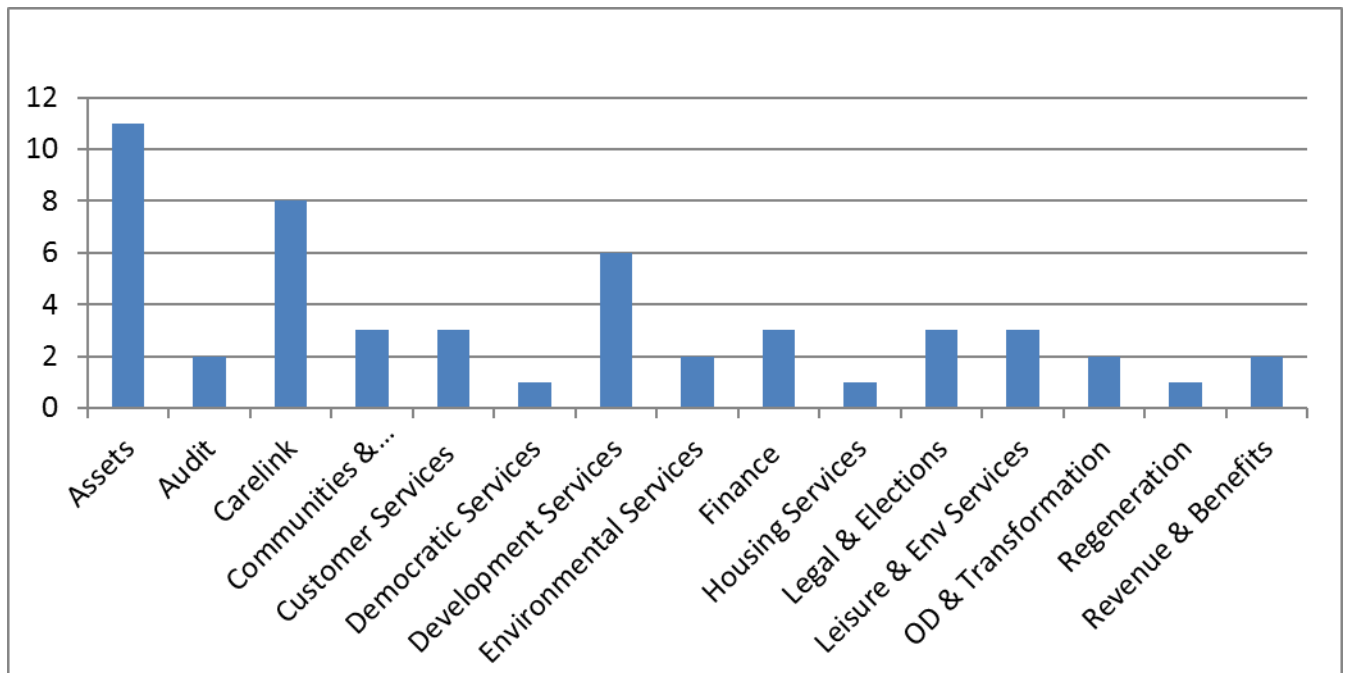
9. Operational Risks

9.1 The December 2024 analysis of the Operational Risk Registers reveals that the Council has identified and assessed 51 operational risks in total, of which 16 are rated as 'high' and therefore above the Council's risk tolerance threshold.

9.2 The 16 risks falling within the 'high' category are listed in full at Appendix B. A full breakdown of the Council's operational risk profile is given below:

Residual Risk Rating	High Peak Risks	Alliance Risks	Total Risks
Critical	-	-	-
High	3	13	16
Medium	4	14	18
Low	6	11	17
Total Risks			51

9.3 The chart below shows the greatest number of operational risks sit within Assets, followed by Carelink. An analysis of the alignment of risk to our objectives shows that most operational risks relate to the use of resources in order to achieve value for money.



10. Project Risks

10.1 The Alliance's project management methodology requires all projects to present an assessment of associated risks at Stage Two of the decision-making process for project approval.

10.2 A number of projects have been completed since the last report. Current project risk registers are detailed below :

- Accelerated housing delivery programme
- Procurement workflow
- Glossop Halls
- Local Plan Review
- Buxton Future High Street Fund
- Manor Park play area
- Waste Reforms (new)
- Procurement Strategy (new)

10.3 Changes during Q3:

- Glossop Halls- 5 highly rated risks (from 4) 5 medium (from 8) 3 low (from 1)
- Local Plan - 2 low rated risks increased to high
- Waste reforms- new project risk register- 3 high, 2 med risks
- Procurement strategy- new project risk register- 2 med, 1 high
- Cote Heath Play Park- completed

Details of the highly rated risks are included in Appendix C below.

10.4 The profile of project risk threats overall is bulleted below:

- 0% Critical
- 28% High – 13 risks
- 45% Medium – 21 risks
- 28% Low – 13 risks

10.5 In addition, a total of 16 opportunity risks have been identified across 7 of the above projects, and all above tolerance positive risks are reported in Appendix D.

Appendix A: Above tolerance Strategic Risks

ALT Owner	Ref	Risk Description	Current Controls	Further Mitigation Plans
M. Owen	SRRT - 2	<p>Delivery of MTFP through the Efficiency and Rationalisation Strategy</p> <p>Impact – 4 Likelihood – 4</p>	<ol style="list-style-type: none"> 1. Effective programme and project management methodology for the transformation programme and agreement of Project Management Strategy (09/2024). 2. Performance Management Framework monitors the achievement of Council Aims. 4. Monitoring financial performance throughout year in Quarterly reports. 5. 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. 6. Assessment made of sustainability of plan and likely impact on reserves levels. 7. Enhanced modelling of scenarios to be introduced in the MTFP revision building on recommendations of Peer Review. 8. Engagement of Heads of Service in development of budget and establishment of required efficiency programme. 9. Zero based approach to key budget items to re-set budget in context of operational changes. 	<ol style="list-style-type: none"> 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. 2. MTFP review (Oct/Nov & Feb) 3. Develop future savings potential in context of revised Efficiency Plan (engagement of AMT, with identified leads to take opportunities forward). 4. Reintroduction of annual budget conference being considered to strengthen the stakeholder input into the budget-setting process (building on AMT budget session undertaken in 25/26 budget cycle)
A Eastgate	SRRT - 5	<p>Effective contract management</p> <p>Impact – 5 Likelihood – 3</p>	<ol style="list-style-type: none"> 1. Contract register in place. 2. Clear specification made at the point of contract appointment e.g. KPIs. Pre-qualification checks and due diligence are undertaken. Insurance requirements are specified. 3. Procurement Business Partner meetings are held with allocated Service Managers which have a contract management focus and provide prompts for ongoing contractor checks needed. 4. Bond / Financial Security guarantee requested for high value / high risk larger contracts. 5. Payments to suppliers are processed in accordance with the terms of the appointments (to ensure cash flow in supply chain). 6. The Procurement Strategy has been updated and includes an enhanced focus on contract management, including a new 	<ol style="list-style-type: none"> 1. Carry out a risk-prioritisation exercise for major contracts and conduct annual financial health checks against the most critical contractors. 2. Specific close monitoring and liaison with all key suppliers. Regular dialogue and meetings, open book accounting, cost plus arrangement in place.

ALT Owner	Ref	Risk Description	Current Controls	Further Mitigation Plans
			Toolkit for use by contract managers.	
M. Trillo	SRRT - 9	Safeguarding duty Impact – 5 Likelihood - 2	<ol style="list-style-type: none"> 1. Joint Policy in place for Safeguarding Children and Vulnerable Adults. 2. Council is a member of the District Safeguarding Network (Derby). 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. Call recording software in place. 6. Safeguarding case management system in place 	<ol style="list-style-type: none"> 1. The Alliance Safeguarding Group meets quarterly to manage risks. 2. All staff members receive training according to a rolling -programme linked to their level of risk. 3. The Safeguarding Policy and actions are reviewed annually through a report to Elected Members.
M Owen	SRRT - 12	Investment into council assets and long-term planning Impact – 5 Likelihood – 3	<ol style="list-style-type: none"> 1. Asset register on spreadsheet databases and PDF docs. 2. Ownership information within land terrier format. 3. Capital spend identified broadly on MTFP only based on historic condition data from 5 years ago. 4. The review of Buxton Town Hall is almost complete with defined direction of travel to be scrutinised and implemented. 5. Energy audits and stock condition surveys are now complete. 	<ol style="list-style-type: none"> 1. The assets database has largely been completed - base data is included and stock condition is being entered by way of projects set out following the condition survey data and energy audit data.. Other tweaks and changes to the system will continue as business as usual. 2. The Asset Management Plan (AMP) is being worked through to determine the level and extent of capital schemes and planned maintenance following the condition survey data and energy audit data. 3. Interim officer is currently working on the revised asset management plan prioritising high value and high-risk assets first. Each asset has been 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. 4. Assets Working Group established to scrutinise and oversee governance.
M. Trillo	SRRT - 13	Meeting the environmental regulatory framework (e.g., air quality, waste	<ol style="list-style-type: none"> 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. 	<ol style="list-style-type: none"> 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

ALT Owner	Ref	Risk Description	Current Controls	Further Mitigation Plans
		regs and carbon reduction targets) Impact – 4 Likelihood – 3	<p>3. Current service methodology assessed in regard to TEEP in 2015.</p> <p>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.</p> <p>5. AES contract enables a "change notice" to be issued by either Council or Contractor, for a significant change to service.</p> <p>6. Air Quality Plan approved by members Nov 2019, with regular update reports to scrutiny.</p> <p>7. Climate action plan agreed.</p>	<p>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>
M. Owen	SRRT - 15	Financial and Legislative impacts from world events e.g. Post- Brexit, Ukraine war, dot of living crises, risk of terrorism Impact – 4 Likelihood – 4	<p>1. Briefings from external auditors, Treasury advisors and Govt departments to provide forward focused guidance.</p> <p>2. Access to local intelligence networks on business trends and developments.</p> <p>3. Close management and monitoring of budgets.</p> <p>4. Insight based development of future MTFP.</p> <p>5. Co-ordinated strategic COVID-19 response as part of any declared major incident (ready to be re-implemented should a further outbreak occur).</p> <p>6. Counter-terrorism risk assessment and policy in place and ACT awareness training carried out at strategic, tactical and operational levels. Access to buildings is restricted and external areas are inspected daily</p>	<p>1. Remain abreast of latest trading arrangements, respond to legislative impacts accordingly.</p> <p>2. Treasury management strategy is reviewed regularly.</p> <p>3. Multi-agency emergency planning preparations and business continuity planning</p> <p>5. Monitor impacts of fiscal and monetary policy, seeking expert analysis and opinion where appropriate.</p> <p>6. Ensure we are up to date with Local Government Reform developments and destinations.</p>
A. Stokes	SRRT - 16	Cyber risk and IT Security Impact – 4 Likelihood – 3	<p>1. ICT security policy in place and reviewed every 2 years.</p> <p>2. Staff training issued and monitored vis the E-ssentials training module.</p> <p>3. Annual health checks carried out.</p> <p>4. Microsoft Licensing Agreement in place.</p> <p>5. IT contact in place from the 1st of April 2021 for 3+1+1 years. Work is underway to prepare for the contract renewal in 2026.</p> <p>6. IT / Digital Strategy approved and being implemented in conjunction with NEC and Socitm.</p> <p>7. Cyber Risk Health Check undertaken by external risk specialists and reported to risk group.</p>	

ALT Owner	Ref	Risk Description	Current Controls	Further Mitigation Plans
			<p>8. Software used to identify weak passwords i.e. password not been changed for a long period; weak password; same password used for multiple sites. High risk weak passwords have been targeted.</p> <p>9. Phishing simulations carried out Dec 2024, results showed an improvement compared to the 2 previous test and will be reported to Information Governance Group</p> <p>10. High Priority findings from the Cyber Risk Health Check have been implemented</p>	
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 Likelihood – 3</p>	<p>1. Multi-disciplinary Officer Working Group established, action plan developed to help identify areas in need of improvement to meet potential compliance framework - now being monitored and reported to ALT.</p> <p>2. TPAS commissioned to carry out tenant engagement activities - with Tenant Engagement Officer appointed and cross-Council action plan to address identified issues. Findings fed into action plan.</p> <p>3. Set of management KPIs as part of the NORSE contract, covering H&S.</p> <p>4. Fully compliant on complaints requirements .</p> <p>5. Compliance plan in place with regular monitoring by ALT.</p> <p>6. Culture review to identified opportunities for improved working arrangements.</p> <p>7. Tenancy Service Measures have now been confirmed and perception benchmark in place.</p> <p>8. Development of consolidated reporting arrangements for housing; damp & mould requirements, culture review findings, Housing Act, Decent Homes.</p> <p>9. Consolidated KPI reporting in place.</p>	<p>1. Continue to monitor the implementation of the Action Plan - meeting in the new year 2025 with the regulator to review the action plan.</p> <p>2. Full engagement from all Service areas required to ensure compliance with the improvement plan, continual engagement with relevant service areas .</p>
A.Eastgate	SRRT-20	<p>Switch off of the Public Switch Telephone Network (PSTN)</p> <p>Impact – 4</p>	<p>1. Monitoring group established including Carelink and NEC</p> <p>2. Non- voice analogue lines to be identified</p> <p>3. Contingencies plans to be established and implemented (i.e. use of existing generators for power supply) prior to switch off date.</p>	<p>An action plan has been drafted, we are working through this to ensure the lines identified are transferred over.</p> <p>There is an increased financial and safety risk associated with the possible failure of the aged Carelink telephony system. A business case/report is</p>

ALT Owner	Ref	Risk Description	Current Controls	Further Mitigation Plans
		Likelihood – 3		to be established and mitigation included in the business continuity plan . Proposals to be presented to Risk Management Group.
M. Owen	SRRT-21	<p>Delivery of the 30 year HRA Business Plan</p> <p>Impact – 3 Likelihood – 4</p>	<p>A multi-disciplinary internal team is developing the updated 30-year plan, including:</p> <ul style="list-style-type: none"> - minimum 20% stock condition survey - refresh to key policies - reflection of the need to provide for changing demographics - ensuring there is balance to the plan across: people, pounds, planet 	<p>Carry out a review of the feasibility of developing the plan in light of LGR.</p> <p>Monitor the impact of proposed changes in RTB regulations put forward by new Government to restrict the loss of social housing. Responded to consultation process (Dec24)</p>

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Appendix B: Above Tolerance Operational Risks

Service	Ref	Risk Description	Current Controls	Further Mitigation Plans
Assets Impact – 5 Likelihood – 2	AS1	Delivery of Repairs, Maintenance, Compliance and FM in Public Buildings	<ol style="list-style-type: none"> 1. Close management of the Alliance Norse Service agreement through monitoring of Key Performance Indicators (KPI's). 2. Working collaboratively with Alliance Norse to develop improvement plans for the priority areas of the service. 	<ol style="list-style-type: none"> 1. Ongoing monthly operational meetings to review KPIs and improvement plans are occurring and we are focusing on receiving better information. 2. ANL to develop annual business plans in line with service delivery plans. 3. Monthly Finance meetings to review budget position. 4. Improvement plans for key areas to be formalised: data behind KPI's requested from Alliance Norse.
	AS2	Compliance or H&S Failure in HRA	<ol style="list-style-type: none"> 1. Contract management in place to ensure compliance aspects are undertaken. 2. New system of prioritisation in place with Repairs and Neighbourhood Teams for area of urgent escalation. 3. Data held within Keystone System. 4. Asbestos Action Group formed to work through actions relating to asbestos management. 5. New system for classifying potentially dangerous failures. 6. Norse have delivered the operations of Compliance and H&S activities since July 2022 - project to include improvements to be managed through KPIs. 	<ol style="list-style-type: none"> 1. Norse project live since July 22. This will include the investment into "Connect". Further discussions required as to suitable systems to hold compliance data. Keystone will continue to be utilised until a suitable solution can be agreed with Norse. 2. Compliance activities have been detailed in services spec and within the agreed KPIs to manage the delivery of the service. 3. Improvement plans to ensure the focus on delivery and transparency of reporting compliance activities. Systems are being proposed to improve compliance and tracking of events.
	AS3	Sustainability of the Assets Green agenda and CO2 net zero by 2030	Assets input into the corporate carbon reduction plan. Further work on the database and stock condition is required to refocus on climate change in the revised Asset Management Plan. All capital projects are to review the "green options" before implementation.	<ol style="list-style-type: none"> 1. Central focus in Asset Management policy and strategy work. 2. Strategic approach required for the Asset Management Plan and Climate Change action plan. 3. Commission Energy Audits of key public buildings to assist with the revised Asset Management Plan. 4. Interrogation of energy audits against stock condition to develop the new investment programme. 5. Discussions with Alliance Norse about levels of support for de-carbonising initiatives. 6. Ongoing work around energy usage through the accommodation review.
Impact – 4	AS4	Rapid increase in	Some contracts are still in place with pricing based on original	1. Revisions of capital programme following strategic

Service	Ref	Risk Description	Current Controls	Further Mitigation Plans
Likelihood - 3		cost of materials, sub-contractors, and supply.	agreements. As contracts come to an end, prices are significantly increasing. Contracts are being reviewed on individual merits and alternative procurement options are being reviewed, however prices and suppliers across the board are being affected.	options. 2. Apply inflationary increases to likely costs of the Asset Management Plan in the Mid Term Financial Plan to ensure that significant increases in costs are captured. 3. Review the Asset Management Plan and HRA business Plan refresh to capture significant levels of cost inflation. 4. All expenditure being reviewed, work is ongoing to manage costs in line with budget.
Impact – 4 Likelihood – 4	AS5	Recruitment and Retention.	1. Continuous review of priorities, ensuring that the more areas of significant risk are dealt with first. 2. Undertake recruitment drives/advertising of roles. 3. Review alternative options, including "growing our own" staff approach for the longer term. 4. 2 full time staff members recruited (Apr 24) who will be working on the housing portfolio 5. Norse consulting proposal to recruit a team into ALN has been approved by Members (Sept 24)	1. Utilising agencies for temporary / interim staff to support the existing teams. 2. Increase support function to alleviate pressures from officers. 3. Determine what options are available for further outsourcing of work and add to procurement forward plan. 4. Team to be recruited into ALN following Member approval
Impact – 3 Likelihood – 4	AS9	Increase in Housing Disrepair Claims. External agencies prompting significant increases in claims.	All procedures have now transferred to Alliance Norse. 1.Repairs are classified into 4 categories to ensure that they are carried out in a timely manner. 2.Records are kept of customer reports. 3.All disrepair claims are dealt with as they are received. 4.Request to Repair data is used to report KPI's to members. Alliance Norse are required to input into the disrepair process.	1.Data is analysed monthly by the Service Manager to ensure performance is monitored, working with ALN to manage repairs promptly. 2. Complaints are monitored and attended to daily and responded to within the corporate timescales. 3. Supervisors to make random inspections of Operatives standards of work. 4. New IT system to be procured and implemented. 5. Access to the Connect system is now available to Council Commissioning Officers
Impact – 5 Likelihood - 3	AS11	Significant failing in fire door compliance	Need has been fully identified and there is a plan in place to resolve the issues around fire door compliance within three years.	All doors to be brought up to standard, certified and recorded within three years. Fire doors are now being installed (from Sept 24). Program of works is ongoing with the Alliance Norse Capital Team
Leisure & Environmental Services Impact – 4	SC1	Failure to deliver waste and recycling collection services to domestic	1. Shareholding and Strategic Oversight Board (replacing Commissioning board) meeting structure in place 2. Quarterly financial meetings held to flag up financial challenges. 3.Monthly Client meetings undertaken to monitor service	1. We would bring the service back in house, vehicles are primarily owned by the Alliance, would spot hire any required in the short term if risk materialised. 2.Contractors contingency arrangements have been tested in recent months and are in place should they be

Service	Ref	Risk Description	Current Controls	Further Mitigation Plans
Likelihood – 3		properties and businesses.	delivery and performance. 4. Employees categorised as key workers, Staff from streets and parks (non-priority) trained to be able to undertake and support waste collections. 5. Contractor Business Continuity Plan in place and reviewed regularly	required again. 3. Funding allocated from government (DEFRA) for capital purchase of new vehicles to implement simpler recycling arrangements from April 26 onwards. Revenue funding (amount (TBC) will also assist with financing the operational implementation of the new arrangements such as additional workforce capacity.
Impact – 4 Likelihood - 3	SC3	Leisure Centre service provision failure	1. Monthly client meetings held to monitor performance 2. Strategic Oversight Board structure in place to monitor contractor performance - two meetings per annum alongside attendance at scrutiny annually. 3. Use of large operator. 4. Quarterly financial statements from contractor/s. 5. Financial support package provided by the Alliance 6. Robust programme of Health and Safety audits provided. 8. Contractor Business Continuity Plan is in place and reviewed regularly.	1. Consultancy support being sourced to review long term delivery model of operations (delivered by establishing Alliance Leisure Ltd in Oct 24). 2. Consultancy support obtained via Sport England to help determine the impact of operator failure on Councils in regard to liabilities and risk 3. Further Government funding awarded in Feb 2024 to help offset financial impact due to covid on recovery of facilities post pandemic at New Mills to support energy reduction works.
Development Services Impact – 4 Likelihood - 5	PL3	Risk of injury to the public / damage to property as a result of falling trees / debris	1. Monitored and inspected council treestock 2. Produced Ash die back strategy and trained staff to recognise and respond to reports of the disease. 3. Service /resource requirements have been reviewed and increased. 4. Technology has been updated-tablets now in use	1. Continue with inspection regime. 2. Further position being recruited 3. Progress to be reviewed at Risk Management Group
Env Health Impact – 3 Likelihood - 4	Env 2	Major incident (requiring Environmental Health response/input)	1. Cross working, multi/minor skilled staff. 2. Emergency Plan in place and tested. 3. Good working relationship with other LA's /Agencies. 4. Good communication network. 5. Liaison with high-risk premises on contingency plans. 6. More control over officers and teams in the new structure- can be deployed to specific areas more effectively.	1.Focus on personal development and additional training for existing staff to retain existing talent (Appraisal process). 2. The service review has been completed, recruitment has commenced (including an additional principal post) and the new structure is being implemented
Finance	FP1	Risk to income stream/budget overspend.	1. Budget monitoring. 2. Efficiency programme. 3. Consider latest intelligence for budget reviews. 4. Contingency and ear-marked reserves in place	1. Ensure there is a provision in the General Fund on an annual review basis. 2. Monitor budget position and target specific areas quarterly throughout the year. Efficiency &

Service	Ref	Risk Description	Current Controls	Further Mitigation Plans
Impact – 4 Likelihood – 4				Rationalisation and Inflation ear-marked reserves in place. Impact of cost of living crisis on service income streams to be monitored and built into future MTFP assumptions at update. 3. Resourcing of efficiency and transformation process via the Transformation Board monthly update monitoring. 4. Ensure adequate earmarked/ general reserve levels maintained and specific reserves utilised as need arises to manage the financial performance.
Impact – 4 Likelihood – 3	FP2	Pension Liability risk to budget	<ol style="list-style-type: none"> 1. Monitoring of pension liability 2. Careful consideration of pension cost implications when awarding contracts (externalisation of services) 3. Base budgets on latest intelligence 4. Manage pressure through the Financial Planning process. 5. Close liaison with pensions authority and actuary during revaluation process 6. Careful workforce planning including consideration of potential pension fund consequences of future outsourcing arrangements and use of pass through agreements 7. Actuarial review of legal challenges concluded minor impact on Borough Council Fund value 	<ol style="list-style-type: none"> 1. Flag up potential long term risks and manage carefully as part of the medium term financial planning process: <ul style="list-style-type: none"> - Wage inflation borne out of cost of living crisis will impact future pension liabilities and Fund - Monitor improvement in investment returns emerging from early indications of 2025 valuation exercise. 2. Improvement in Fund performance over period since the last valuation (in 2022) leading to reduction in contribution rates with effect from April 2026 3. Assess implications of 2025 valuation exercise as full results emerge from scheme actuary (Oct25). Early indications from SPF are positive.
Impact – 5 Likelihood - 2	FP3	Treasury Management failure (General)	<ol style="list-style-type: none"> 1. Professional training of staff. 2. Professional advice and support. 3. Careful control of lending list including investment limits on institutions through formally adopted Treasury Management strategy. 4. Full compliance with the Chartered Institute of Public Finance and Accountancy's (CIPFA) Code of Practice on Treasury Management. 	<ol style="list-style-type: none"> 1. Carry out regular credit checks and react to latest developments in treasury management risk. Incorporate into the annual Treasury Management Strategy - reported to Full Council each February. 2. Keep under review: the high inflation economy may impact banks - impacts of financial sector volatility in respect of interest rates and Government bonds. The lending criteria we have in place should flag up early risk signs. Regular monitoring controls are sufficient to keep within acceptable limits. 3. Ensure due consideration is given to risks associated with specific types of investment, such as in extractive industries. 4. Adherence to security, liquidity: yield hierarchy in

Service	Ref	Risk Description	Current Controls	Further Mitigation Plans
				investment decisions.
Communities & Climate Change Impact – 4 Likelihood - 4	CCC1	CCTV Failure	The control room has been upgraded and is operated 24/7 by Carelink operatives. However, the contractors are not performing the contract as agreed with major slippage.	1. A meeting was held in November to discuss the next steps in order to procure contractor support. We are aiming to begin a review in January 2025 and implement a new maintenance contract in the same timeframe.
Customer Services Impact – 5 Likelihood - 2	CS3	Safeguarding for and by frontline staff	Specific procedures are in place for frontline staff to signpost and make referrals. Essential safeguarding training is ongoing. Call recording is in place, observations are also recorded.	1. Ongoing safeguard training is in place- this is targeted specifically for frontline staff 2. 'Challenging customer' training in place and ongoing. 3. Considering re-configuration of alarms in receptions.

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Appendix C: Above Tolerance Project Risks

Project	Ref	Risk Description (vulnerability)	Current Controls	Further Mitigation Plans
Accelerated Housing Delivery Impact – 4 Likelihood – 3	AHDP5	River Wye Pollutants (Nutrient Neutrality)	The Hogshaw development is providing of site Nutrient Neutrality mitigation. There is a council managed scheme approved and funded by central government which is being administered by Alliance Norse. This will consist of new septic tanks being installed and developers being able to buy credits.	Providing that Norse administer and manage the scheme effectively and septic tank renewal is undertaken swiftly, then the council can start approving new homes within the river Wye catchment area.
Glossop Halls Impact-4 Likelihood-3	4	Procurement of a collaborative strategic commercial partner	Advice was sought from Quarterbridge re the initial designs to make them attractive to a commercial partner and also an outline of the possible operating models. Support and input into the process is being sought from Focus. Involvement with the local community through the Creative Trust. This is monitored in the monthly Project Board meetings.	Following the procurement exercise for an external operator, a preferred operator has been confirmed and the unsuccessful bidders have been advised of the result prior to issue of contract award notice. Council are currently finalising contract terms and have agreed potential additional works which is subject to approval. Potential impact of additional fire protection works (Building Control) put at risk finalising the contract
Impact-4 Likelihood-5	14	Construction Programme	Parkinson have updated/ reissued the construction programme that still shows completing by the original contract date, but it is expected that there will be delays to the completion date.	It has been agreed that Parkinson will hand over the Market Hall with the rest of the works as a single completion date as the Operator will not be taking early possession to undertake fit-out works. During the Pre-Handover Meeting held on 16th January 2025, Parkinson advised that the works will be completed by end of January 2025 allowing the Operator to take possession of the building from 3rd February 2025
Impact- 3 Likelihood- 4	17	Non-performance of Professional Team	Regular meetings to review issue of construction information; Parkinson establishing an Information Request procedure.	Due to staff changes at Clancy Services (sub-consultant to AHR) that have been further issues in not responding to technical queries risking further delays together with inputting into the testing/ commissioning of the services installations. New staff members from Clancy (Services) are responding to queries/ review testing/ commissioning information.
Impact- 3 Likelihood - 4	22	Town Hall first floor loading capacity	Commission structural engineers to undertake a review of the existing floor structure to confirm load capacity.	Further investigation of the timber floor joists have been undertaken to confirm timber strength grade and the report has been issued to Derbyshire Building Control Partnership.

Project	Ref	Risk Description (vulnerability)	Current Controls	Further Mitigation Plans
Impact -4 Likelihood-4	23	Delays Public Opening (resolving Building Control fire issues)	Follow up communications with DBCP to progress response to Hydrock's report.	Continue with follow up communications with DBCP to progress response to Hydrock's report
Local Plan Impact – 4 Likelihood -4	3	Nutrient neutrality undermines the delivery of the Local Plan	Working with partners to secure Government funding to develop a mitigation strategy. Membership of a network of impacted LPAs across England to share best practice. Planned training for officers / members. Briefing for developers.	Specialist consultants (Royal Haskoning) were appointed to prepare a nutrient budget calculator and mitigation solutions report to consider how the exceedances of phosphorus in the Peak District Dales Special Area of Conservation could be addressed. Information in report informed Local Nutrient Mitigation Fund (Round 2) Expression of Interest - Decision awaited
Impact- 3 Likelihood-5	1	Review of plan is not complete	Local Plan Steering Group established to oversee evidence and process of the review. Use of external support to deliver other projects e.g. S106 SPDs.	<ol style="list-style-type: none"> 1) Review of outstanding / new requirements 2) Commissioning additional evidence 3) Revising published LDS 4) Updating / streamlining evidence collection
Impact 3 Likelihood-4	2	Forthcoming national planning reforms introduce new requirements	Gov has passed Levelling Up and Regeneration Bill. New Gov has issues consultation on new NPPF. Officers are evaluating new requirements, amending timetable to minimise delay to previously approved LDS.	Focusing review work on matters that are most likely to be carried forward in new reforms
Waste Reforms Impact-4 Likelihood-3 Impact-4	HP4 a1 RT.02	Financial - sufficient allocation of capital and revenue funding	Capital funding received - modelling underway to determine if this is sufficient Transitional and revenue - awaiting allocation from DEFRA EPR- extended producer responsibility: funding detail received for both authorities, High Peak challenged as the cost of processing is not included, awaiting outcome (same for some other authorities in Derbyshire)	Modelling (BARTEC) measuring against capital projections for vehicles. Pending return on quotations Jan 25. Rated high until outcome of modelling is known and DEFRA announce allocation of transitional / revenue budget (no indication of dates at this time)

Project	Ref	Risk Description (vulnerability)	Current Controls	Further Mitigation Plans
Likelihood- 3 Impact-3 Likelihood- 4	HP4a1 RT.03	Supply chain / procurement (equipment) . Demand is high, supplies are short and there are long delays in productions	Market insight / profiling - supplier engagement in progress / consolidating options for purchasing streams Developing specification requirements through modelling exercise Awareness of lead in times to ensure delivery on time is achieved	Developed the procurement strategy. Early market engagement undertaken. Collaboration with regional waste groups & through WRAP. ANSA procurement support, through AES working with the councils procurement lead. Rated high - lead in times on vehicles is currently 12 months this may increase as demand is high.
	HP4a1 RT.05	Land development / planning application and approval - new build.	One Public Estate options appraisal completed. Assets / Estates are engaged to review the HPBC (owned) land options for development.	Comprehensive business case for project & financial outline project management resources and delivery supply chain has been identified and secured. Rated high- the developing business case and financial planning will require additional resource to support, this may reduce once dedicated support is in place.
Procurement Strategy Page 25	HP5eV RT02	Non-compliance to public contract regulations	Registered on cabinet commercial college for training on the new regulations. Attended seminars / knowledge hubs / super user groups for regions. Procurement work programme / forward plan reviewed, high value, strategic procurements identified and prioritised for further review on sourcing strategies. Reports due on committee work programmes up to December	Full training assessment programme completed. Regular updates from central government. Super user forums attended. Updates and guidance for services / members. Currently rated as high - this will reduce through the transition period.

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Appendix D: Above Tolerance Opportunity Risks

ALT Owner	Ref	Opportunity	Controls	Fruition Plans
Strategic				
Mark Trillo Impact – 5 Likelihood - 3	SRRO - 1	Housing Growth	<ol style="list-style-type: none"> 1. Affordable Homes Programme. 2. Empty Homes Strategy in place. 3. Local Plan under review for High Peak. 4. Accelerated Housing Delivery Programme. 	<p>The Growth Strategy is under review and key themes and priorities will cover these intervention areas:</p> <ol style="list-style-type: none"> 1. Empty homes strategy implementation. 2. Focus on growth agenda through Local Plan delivery and revision of the Growth Strategy - realisation of Accelerated Housing Delivery Programme. 3. Work with Homes England to access funding to support housing growth. 4. Disposal of remaining Council owned sites being programmed for 2025/26. NPPF increased housing targets for HPBC
Martin Owen Impact – 4 Likelihood - 4	SRRO - 2	Business Growth	<ol style="list-style-type: none"> 1. Growth Hub referrals. 2. Provision of employment units. 3. Business Newsletters advising of grant funding opportunities and training events to help businesses survive and flourish. 4. Developed pipeline of new sites suitable for economic development/business expansion 	<p>The Growth Strategy is under review and key themes and priorities will cover these intervention areas:</p> <ol style="list-style-type: none"> 1. Implement the accelerated business growth and employment programme. 2. Work with LEP partners / EMMCCA to access vital funding to support business growth. 3. New business support schemes provided by SPF funds / REPF through local supply chains and Chambers of Commerce 4. Identify priority list of employment sites for purchase or disposal. 5. Review Growth Strategy and look at incubation / support micro business with expansion space.
Anna Eastgate Impact – 3 Likelihood - 4	SRRO - 4	Effective contractor relationships	Current procurement and contract management arrangements.	<ol style="list-style-type: none"> 1. Greater focus on Council as a commissioner. 2. Effective contract management arrangements that build up effective partnership arrangements. 3. Focus on Contract Management within the Procurement Strategy, implementation and delivery of the key priority actions.

Operational				
Martin Owen – Carelink Both Impact – 4 Likelihood – 5	CLO1	Capitalising on the new operating model to grow the client base	We continue to promote Carelink to address the staffing challenges which will open up the opportunity to grow the client base and expand the range of services.	1. We are continuing to promote Carelink through all communication channels. We have had continuing staffing challenges but have recently made several new appointments which will support this.
	CLO2	Capitalising on the new operating model to expand the range of services offered		
Andrew Stokes Impact – 3 Likelihood - 4	ODTOR1	Efficiency opportunities arising from the implementation of new IT systems.	The IT strategy has been evaluated, we have created a clear picture of the way forward and the required actions.	1. The IT strategy and action plan are being implemented in conjunction with Socitm and Invuse. 2. The Alliance our future project is underway and continues to make good progress. This will be reviewed in light of Local Government Reform
Projects				
Andrew Stokes – FHSF All Impact – 3 Likelihood – 4	1	Legal and co-financing deal	Future High Street Fund (FHSF) grant approved and Memorandum Of Understanding now signed/issued. Exclusivity agreement with owners in place, although not signed/dated. Council Executive has approved price offer 9/12/21.	Invitation to tender for the development partner is in motion, responses are due by the end of July 2024. The Development Partner is expected to be in place by the end of 2024.
	2	Potential to maximise visitor economy.	FHSF underway and Council approval agreed for submission.	Investment in the visitor economy via UKSPF funding is expected to attract more visitors to Buxton and the surrounding areas.
	3	New housing, business growth, sustainable town centre and new employment opportunities.	FHSF grant offer and Memorandum Of Understanding signed. Works on due diligence completed. Procured advice on route for appointment of development partner.	Invitation to tender for the development partner is in motion, responses are due by the end of July 2024. The Development Partner is expected to be in place by the end of 2024. BLRF funding bid submitted.
Andrew Stokes – Procurement Workflow Impact – 3 Likelihood – 4	PWOpp1	A new Alliance intranet, procurement workflow and staff training using M365 tools to align with our digital	The current Alliance intranet (which also hosts the procurement workflow) is based upon a version of Drupal which is due to expire. We have explored our options and have appointed Invuse to deliver a new Alliance intranet using SharePoint. The scope also includes the design of a new	Contract awarded; work has commenced. Testing in progress.

		strategy.	procurement workflow using M365 tools and general M365 training for all staff across the organisation.	
Andrew Stokes – Glossop Halls Impact – 4 Likelihood - 3	1	To revitalise the buildings and provide them with financial sustainability.	Monthly project board led by Executive Director. Support from external consultants Focus and engagement with the Creative Trust and local community. Procurement of Commercial Partner in progress	Contract agreement with Commercial Partner. Progress with the Creative Trust regarding involvement and activities within the Town to compliment the facility.
Andrew Stokes – AHDP Both Impact – 5 Likelihood – 4	PLA.3 (1)	External funding to unlock housing delivery.	Working with Homes England through the HIF programme to fund the new infrastructure	DOV issued for approval June 2024.
	PLA.3 (2)	Capital receipt through land disposal.	Land disposal and strategy agreed through the Accelerated Housing Delivery Programme.	Fisher German assisting with housing delivery strategy and Head of Terms. The Head of Assets is liaising with the housing developer regarding council land and access.
	PLA.3 (3)	Improved access to Tongue Lane Ind Est	Proposed new link road from roundabout to Waterswallows development will provide better access to Tongue Lane Industrial Estate. Waterswallows developer to provide link road East from the roundabout to the industrial estate access point.	Legally binding agreements to be drafted to ensure developers fund link roads. New build housing / consideration of planning applications for housing is impacted by Nutrient Neutrality.
Both Impact – 4 Likelihood - 4	PLA.3 (5)	Wider economic benefits	The funding of the roundabout is based upon housing delivery and the wider economic benefits these bring. This is set out in the GFA. Failure to meet housing numbers could impact on funding.	Legally binding agreements to be entered into between council and developers to ensure housing delivery. New build housing / consideration of planning applications for housing is impacted by Nutrient Neutrality.
Mark Trillo Manor Park Sports Court Impact - 4 Likelihood -3	MPOR1	Develop trusting relationships with the local community with a view to the creation of a community group	Play inspections occur regularly by staff	Encourage community participation around casual supervision of the site, increase usage of the facility.
	MPOR2	Support a community group	Work with the community group to engage with funding opportunities	Encourage community participation around access to external funding

		to access further external funding to offer sports coaching to the community		
	MPOR3	Promote physical activity with a range of external partners	The limited facility in situ currently limits physical activity opportunities	Will work with partners to promote health improvements for users and prevent long term health issues