

## 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> <li>8. Engagement of Heads of Service in development of budget and establishment of required efficiency programme.</li> </ol>	<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., 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 the revised Efficiency plan (engagement of AMT, with identified leads to take opportunities forward).</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	<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</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 -</li> </ol>

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		Likelihood - 2	(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. Call recording software introduced. 6. Safeguarding case management system introduced	programme linked to their level of risk. 3. The Safeguarding Policy and actions are reviewed annually through a report to Elected Members
Neil Rodgers	SRRT - 12	Investment into council assets and long-term planning  Impact – 5 Likelihood – 3	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.	1. The 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 business as usual. 2. Energy audits and stock condition surveys now complete. 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. 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.
Neil Rodgers / Mark Trillo	SRRT - 13	Meeting the environmental regulatory framework (e.g., air quality, waste regs and carbon reduction targets)  Impact – 4 Likelihood – 3	1. Air quality monitoring equipment deployed and analysed externally. 2. Current service methodology assessed in regard 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.	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. 5. Review of Taxi Policy to align with Climate change targets 6. Review of Street Trading to align with Climate change targets

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			6. Climate action plan agreed.	
Martin Owen	SRRT - 15	Financial and Legislative impacts from world events e.g., Brexit  Impact – 4 Likelihood – 4	1. Briefings from external auditors 2. Treasury advisors and Govt departments to provide forward focused guidance 3. Access to local intelligence networks on business trends and developments 4. Close management and monitoring of budgets 5. Insight based development of future MTFP	1. Remain abreast of post-Brexit progress and trading arrangements, respond to legislative impacts accordingly. 2. Treasury management strategy is reviewed regularly 3. multi-agency emergency planning preparations and business continuity planning 4. Co-ordinated strategic COVID-19 response as part of any declared major incident (ready to be re-implemented should a further outbreak occur). 5. Monitor impacts of fiscal and monetary policy, seeking expert analysis and opinion where appropriate
Andrew Stokes	SRRT - 16	Cyber risk and IT Security  Impact – 4 Likelihood – 3	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. Health-check 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 contract in place from the 1st of April 2021 for 3+1+1 years. 10. New IT / Digital Strategy approved. 11. Cyber Risk Health Check undertaken by external risk specialists and reported to risk group	1. Developed an action plan for the new IT / Digital Strategy in conjunction with NEC and Socitm. 2. Regular training and communication updates. 3. High Priority findings from the Cyber Risk Health Check currently being implemented. 4. Accreditation for Cyber Essentials currently under way: we are working towards this, however the requirements to achieve the accreditation have increased. Phone replacement has been achieved; we are working on the replacement of the old servers. 5. Develop an action plan to identify supplier hosted systems where multi-factor authentication is required and agree our approach. 6. IT health check to be carried out Oct 2023. 7. Software being 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 will be targeted by Oct, will then be rolled out to all other users later in the year. 8. Phishing simulations to be carried out Oct 2023.
Andrew Stokes	SRRT - 17	Employee wellbeing negatively	1. HR policies and procedures. 2. Staff counselling services 3. Flexible working hours	1. Agile Working Policy - it has been agreed with the union that following implementation of the policy we will monitor this closely to address any issues immediately. Audit of Agile

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		<p>affected</p> <p>Impact – 4</p> <p>Likelihood – 3</p>	<p>4. Internal communication channels well embedded.</p> <p>5. MS Teams rolled out.</p> <p>6. Agile working policy approved and implemented</p> <p>7. Staff communications have continued to promote mental health and wellbeing with sign posting to support including the staff counselling service.</p>	<p>working recently undertaken and working arrangements reviewed with individual staff.</p> <p>2. Completed the training for Mental Health First Aiders and set up a wellbeing hub on the intranet.</p> <p>3. Staff survey issued Aug 23; responses currently being reviewed.</p> <p>4. Team talk to include articles/advice and information around Lone Working and Near Miss incidents. The Tunstall lone worker software has been brought back in house and a pilot is being held within the housing service until December 2023. Results will be monitored and taken to the December Health &amp; Safety committee with a view to launching this across other service areas.</p>