

## 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 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 revised Efficiency plan (engagement of AMT, with identified leads to take opportunities forward).</li> </ol>
M. 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 has 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. Specific close monitoring and liaison with all key suppliers i.e. Parkwood Leisure. Regular dialogue and meetings, open book accounting, cost plus arrangement in place.</li> </ol>
M. Trillo	SRRT - 9	Safeguarding duty	<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</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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		Impact – 5 Likelihood - 2	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 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.
M Owen	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 set out in point 2 below. 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. 5. Assets Working Group established to scrutinise and oversee governance.
M. Trillo	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. 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 regard to TEEP in 2015. 4. Significant service change should be raised at Shareholder or Commissioning Board meetings, a	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-

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		Impact – 4 Likelihood – 3	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.	neutral targets. 5. Review of Taxi Policy to align with Climate change targets. 6. Review of Street Trading to align with Climate change targets.
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	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 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. 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. Move to critical protocol is being considered.
A. Stokes	SRRT - 16	Cyber risk and IT Security  Impact – 4 Likelihood – 3	1. ICT security policy. 2. Staff training. 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.	1. Active action plan developed 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. Part of an ongoing programme. 5. Develop an action plan to identify supplier hosted systems

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			<p>9. New IT contact in place from the 1st of April 2021 for 3+1+1 years.</p> <p>10. New IT / Digital Strategy approved.</p> <p>11. Cyber Risk Health Check undertaken by external risk specialists and reported to risk group.</p>	<p>where multi- factor authentication is required and agree our approach.</p> <p>6. IT health check to be carried out Oct 2023.</p> <p>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.</p> <p>8. Phishing simulations carried out Dec 2023, results show an improvement compared to the previous test and have been reported to Information Governance Group.</p>
A. Stokes	SRRT - 17	<p>Employee wellbeing negatively affected.</p> <p>Impact – 4 Likelihood – 3</p>	<p>1. HR policies and procedures.</p> <p>2. Staff counselling services.</p> <p>3. Flexible working hours.</p> <p>4. Internal communication channels well embedded.</p> <p>5. Microsoft 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. Completed training for Mental Health First Aiders &amp; set up wellbeing hub on the intranet</p>	<p>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 working recently undertaken and working arrangements reviewed with individual staff.</p> <p>2. Staff survey issued Aug 23; responses have been reviewed and an action plan put in place. Pulse survey to be issued July 2024</p> <p>3. Team talk includes 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 was held within the housing service until Dec 23. Results have been monitored and taken to the Dec H &amp; S committee , the software will be launched across other service areas during 2024/25</p> <p>4. Appraisal commenced Jan 2024 - the first area of focus for the appraisal conversation will be health &amp; wellbeing. Individuals will be encouraged to speak openly about aspects that matter to them (work or non- work related) and which they may require support with.</p>
M. Owen	SRRT - 18	Failure to meet the new regulatory requirements	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	<p>1. Continue to monitor the implementation of the Action Plan.</p> <p>2. Maintain focus on the emerging regulations. Regular reports on action plan progress to ALT.</p>

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		<p>proposed in relation to the provision of social housing (landlord role)</p> <p>Impact – 4 Likelihood – 3</p>	<p>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. New set of management KPIs as part of the NORSE contract, covering H&amp;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 identify opportunities for improved working arrangements underway.</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 &amp; mould requirements, culture review findings, Housing Act, Decent Homes</p>	<p>3. Full engagement from all Service areas required to ensure compliance - culture review reported in August-23 with recommendations for improvement - follow and monitoring being included in update to regular reporting framework.</p> <p>4. Consolidated KPI reporting.</p> <p>5. Development of new 30-year housing strategy</p>