

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.

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			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

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		regs and carbon reduction targets) Impact – 4 Likelihood – 3	<ul style="list-style-type: none"> 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 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. 	<p>detailed in any report and a TEEP assessment completed.</p> <ul style="list-style-type: none"> 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.
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	<ul style="list-style-type: none"> 1. Briefings from external auditors, Treasury advisors and Govt departments to provide forward focused guidance. 2. Access to local intelligence networks on business trends and developments. 3. Close management and monitoring of budgets. 4. Insight based development of future MTFP. 5. Co-ordinated strategic COVID-19 response as part of any declared major incident (ready to be re-implemented should a further outbreak occur). 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 	<ul style="list-style-type: none"> 1. Remain abreast of latest trading arrangements, respond to legislative impacts accordingly. 2. Treasury management strategy is reviewed regularly. 3. Multi-agency emergency planning preparations and business continuity planning 5. Monitor impacts of fiscal and monetary policy, seeking expert analysis and opinion where appropriate. 6. Ensure we are up to date with Local Government Reform developments and destinations.
A. Stokes	SRRT - 16	Cyber risk and IT Security Impact – 4 Likelihood – 3	<ul style="list-style-type: none"> 1. ICT security policy in place and reviewed every 2 years. 2. Staff training issued and monitored vis the E-ssentials training module. 3. Annual health checks carried out. 4. Microsoft Licensing Agreement in place. 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. 6. IT / Digital Strategy approved and being implemented in conjunction with NEC and Socitm. 7. Cyber Risk Health Check undertaken by external risk specialists and reported to risk group. 	

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			<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>	<ol style="list-style-type: none"> 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. 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. 3. Set of management KPIs as part of the NORSE contract, covering H&S. 4. Fully compliant on complaints requirements . 5. Compliance plan in place with regular monitoring by ALT. 6. Culture review to identified opportunities for improved working arrangements. 7. Tenancy Service Measures have now been confirmed and perception benchmark in place. 8. Development of consolidated reporting arrangements for housing; damp & mould requirements, culture review findings, Housing Act, Decent Homes. 9. Consolidated KPI reporting in place. 	<ol style="list-style-type: none"> 1. Continue to monitor the implementation of the Action Plan - meeting in the new year 2025 with the regulator to review the action plan. 2. Full engagement from all Service areas required to ensure compliance with the improvement plan, continual engagement with relevant service areas .
A.Eastgate	SRRT-20	<p>Switch off of the Public Switch Telephone Network (PSTN)</p> <p>Impact – 4</p>	<ol style="list-style-type: none"> 1. Monitoring group established including Carelink and NEC 2. Non- voice analogue lines to be identified 3. Contingencies plans to be established and implemented (i.e. use of existing generators for power supply) prior to switch off date. 	<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>

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		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	Delivery of the 30 year HRA Business Plan Impact – 3 Likelihood – 4	A multi-disciplinary internal team is developing the updated 30-year plan, including: - 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	Carry out a review of the feasibility of developing the plan in light of LGR. 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)