



**Report to:** STAR Joint Committee  
**Date:** 22<sup>nd</sup> June 2023  
**Report for:** Information  
**Report from:** Assistant Director (Development), STAR Procurement

### **Report Title**

**STAR Procurement Strategic Risk Register**

### **Summary**

The purpose of this report is to:

- Provide an updated STAR Strategic Risk Register for 2023/24

### **Recommendations**

The recommendation of this report is that the STAR Joint Committee:

- Notes the contents of this report

### **Contact person for access to background papers and further information:**

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### **Background**

Financial Impact:	None
Legal Impact:	None
Human Resources Impact:	None
Asset Management Impact:	None

E-Government Impact:	None
Risk Management Impact:	This Risk Register aids risk management
Health and Safety Impact:	None

## **Consultation**

No public consultation required

## **Reasons for Recommendation(s)**

The report is issued for information only.

### **1. Introduction**

- 1.1 The STAR Risk Register has been revised and updated in line with best practice. This is a live document that is reviewed regularly by STAR Wider Leadership Team (WLT) and reported to STAR Board and STAR Joint Committee annually, or by exception.
- 1.2 Following Joint Committee, the agreed STAR Risk Register is shared with all our Partners Audit teams for information and where appropriate inclusion in their Corporate Risk Registers. A draft version has already been shared for comment and feedback with our Partners Audit teams.
- 1.3 There is a separate risk register for growth which is reviewed by STAR Wider Leadership Team regularly. This has been used to inform the updates to the Strategic Risk Register.

### **2. Updates to Strategic Risk Register**

- 2.1. The risks can be summarised in the following heat maps:

2021 Heat Map (Total 21)

		Impact			
		1	2	3	4
Probability	4	1	3	2	2
	3	2	2	2	2
	2	2	2	8	2
	1	2	3	2	3

2022 Heat Map (Total 23)

		Impact			
		1	2	3	4
Probability	4	1	2	2	2
	3	2	1	4	1
	2	2	2	4	2
	1	2	4	3	5

2023 Heat Map (Total 21)

		Impact			
		1	2	3	4
Probability	4	1	2	1	2
	3	2	2	3	2
	2	2	2	2	2
	1	2	3	4	2

- 2.2. No new risks have been added. There have been some changes to the wording of the risks which is highlighted in red text in Appendix 1.
- 2.3. The risks that have been removed are:
- 024 - Increased income generation activity leading to non-compliance with relevant legislation
  - 026 - Legal challenge arises due to emergency procurements undertaken during the COVID response in line with published Procurement Policy Notes (PPNs)
- 2.4. The risks that have increased are:
- 001 – Increases in running costs (Excluding staffing and internal SLA's) impacts on STAR budget and future sustainability
  - 011 - STAR staff are unable to access the Trafford systems
  - 020 - Global and national issues impact on supplier sourcing of supplies and impacts on STAR Partners' savings objectives e.g. cost of living, energy prices, inflation, Real Living Wage, Fair Cost of Care
  - 025 - Complexity of governance and decision making arrangements leading to inefficiencies
- 2.5. The risks that have decreased in scoring are:
- 014 - Growth in Partners and customers leads to reduced performance and service to existing Partners
  - 018 - Failure of STAR to deliver ethical, responsible procurement i.e. identify Modern Slavery in its Partners' supply chains, driven by Regulation or policy/strategy drivers in our Partner organisations
  - 021 - Reductions in income from Partners (i.e. no inflationary increase) and customers impacts on STAR budget and future sustainability

### **3. Summary**

- 3.1. There has been a slight decrease in the number of high graded risks and an overall reduction in the number of risks. Mitigation actions are in place and will continue to be monitored and managed by STAR WLT.

### **4. Recommendations**

- 4.1. It is recommended that STAR Joint Committee:
- Notes the contents of this report.

## **Report Appendices**

1. STAR Procurement Risk Register v5.0

**Appendix 1: STAR Procurement Strategic Risk Register v5.0**



**Corporate Risk Register**

Version: 5.0 (Draft)

Issue Date: May 2023

Document Owner: Assistant Director (Development)

Document Owner:  
Assistant Director  
(Development)

Summary			Risk Description & Impact				Preventative Actions	
ID	Date Raised	Type	Description of risk / impact	Prob (1-4)	Impact (1-4)	Score (P x I)	Mitigating actions / Countermeasures	Risk Owner
20	15 Apr 19	Finance	Global and national issues-impact on supplier sourcing of supplies and impacts on STAR Partners' savings objectives e.g. cost of living, energy prices, inflation, <b>Real Living Wage, Fair Cost of Care</b>	4	3	12	Regular briefings at given at STAR team meetings Seek and share national and regional guidance <b>Monitor savings regularly</b> Market intelligence and position statements through Category Strategies	Elizabeth McKenna
15	15 Apr 19	KPIs	Failure to meet agreed in-year 5-STAR KPI targets	3	3	9	Leadership Team regularly reviews KPI reports and metrics to identify any risks which can be addressed WLT undertake deeper dive analysis of KPI data Quarterly reporting to Board and Joint Committee Annual review of targets	Nichola Cooke
5	15 Apr 19	Staff	Recruitment and retention of suitably qualified and/or experienced procurement staff that have the skills to deliver across multi partners impacts on ability to deliver services to Partners & Commissions	3	3	9	Grow Your Own' training and development policy continues to meet succession requirements Further training and development opportunities are being identified Talent management is being developed from apprenticeship-level and upwards, <b>including implementation of career grades</b> Resource review Recruitment strategy/marketing of opportunities	Elizabeth McKenna
8	15 Apr 19	Service Quality	Volume of procurement activity impacts on quality of service delivered i.e. Partners' outsourcing of services to private companies or in-sourcing back into the Council impacts on procurement activity and strategic influence in those areas	3	3	9	HoSPs work with Category Managers and Procurement Officers to identify capacity issues Implementation of In-tend to allow automation of workplans Annual 'Know Your Business' analysis undertaken on procurement activity Cyclical reporting, forward planning and strategic savings planning work embedded STAR continues to analyse volume and type of activity to identify any new opportunities and/or risks Wider Leadership Team further developing strategic relationships with key Clients	Elizabeth McKenna
25	10 Feb 22	Growth	Complexity of governance and decision making arrangements leading to inefficiencies	2	4	8	<b>A review on operating options to be undertaken</b> <b>Review of IAA to be undertaken</b>	Lorraine Cox
21	19 Nov 20	Finance	Reductions in income from Partners (i.e. no inflationary increase) and customers impacts on STAR budget and future sustainability	2	4	8	<b>Realistic income target established</b> <b>Implemented a charging policy and regularly reviewed</b> Development Team are developing links with new and existing Clients to secure new income Report to Board and JC Quarterly	Nichola Cooke
19	15 Apr 19	Governance	Changes in Joint Committee & Board membership impact on STAR Procurement service delivery	4	2	8	Briefings are held with new members to brief them on STAR and their roles and responsibilities Leadership Team to continually review and assess the impact of the instability of governance arrangements for STAR – reporting to the STAR Board	Lorraine Cox
23	19 Nov 20	Legal		4	2	8	Monitor legislation <b>and PPN's</b> progress and timelines	

			New legislation changes <b>negatively</b> impact on Core Offer, compliance and workloads i.e. PPN, New Procurement Regulations				Influence policy changes through national contacts Update QMS with any new requirements Implement staff and stakeholder training on new requirements Seek STAR Legal advice, where required	Elizabeth McKenna
14	15 Apr 19	SLAs	Underperformance by internal SLA providers to STAR (Legal, HR, ICT and Finance services by Trafford Council and Tableau and data by Stockport Council) impacts on STAR's ability to deliver effective services to its Partners and Customers	2	3	6	Wider Leadership Team liaises regularly with client leads from Each of The services that support STAR Resource and quality issues are identified at an early stage and mitigation is implemented Leadership Team will escalate any concerns with the STAR Board  <b>Wider Leadership Team</b> to have dedicated contract managers for SLA's	Nichola Cooke
22	19 Nov 20	Staff	Hybrid working arrangements impact of staff morale, and mental and physical health	2	3	6	DSE assessment undertaken and IT equipment issues e.g. laptop risers, screen, chair etc Promoted staff well-being services provided by Trafford Council Regular staff survey undertaken and EPIC check-ins <b>Regular staff engagement and encouraging face-to-face for 121's and team meetings</b> Continue to review hybrid arrangements in line with Trafford Council policy/approach Partners to keep STAR updated on local arrangements	Lorraine Cox
1	15 Apr 19	Finance	Increases in running costs (Excluding staffing and internal SLA's) impacts on STAR budget and future sustainability	2	2	4	Regular budget monitoring; including cost forecasting Spending freeze implemented, when required Reported to Board	Nichola Cooke
4	15 Apr 19	Staff	Growth in Partners and Customers leads to reduced performance and service to existing Partners	2	2	4	Resource review Clear roles and responsibilities between delivery and development Robust business case in place for growth/new partners Rigorous project management and communications	Lorraine Cox
2	15 Apr 19	Growth	Withdrawal of one or more Partners leads to workforce and funding instability and inability to deliver remaining Partners' requirements	1	4	4	STAR holds cyclical Board and Joint Committee meetings Leadership Team holds cyclical Board Member 1-2-1s HoSPs are leading on stakeholder management STAR will develop a contingency plan and will review the IAA exit strategy if the risk increases	Lorraine Cox
16	15 Apr 19	Legal	Receipt of legal challenge to STAR contract award impacts on STAR and its Partners' and Customers' reputation with suppliers	1	4	4	A structured Quality Management System is in place which provides guidance and templates Whole-team meetings are used to share best practice and training Annual reporting through PI Insurance renewal to ensure monitoring Professional and qualified legal support is provided through a Legal SLA with Trafford Council Continuous Improvement plan in place	Elizabeth McKenna
18	15 Apr 19	PR	Failure of STAR to deliver ethical, responsible procurement i.e. identify Modern Slavery in its Partners' supply chains, driven by regulation or policy/strategy drivers in our Partner organisations	1	3	3	<b>STAR has mandated this for all contracts over £25k and included in template documents</b> Analysis is conducted on a project by project basis for higher risk contracts STAR continues to hold CIPS Corporate Ethics Mark which includes a commitment to regular training for staff STAR supports its Partners with their annual reporting on Modern Slavery <b>Ongoing training to STAR staff and commissioners as part of 'Back to Basics'</b> Questionnaire to Suppliers e.g. Real Living Wage & Carbon Action Plans Liaise with Partners to ensure Responsible Procurement Strategy encapsulates all aspects of ethical and responsible procurement	Elizabeth McKenna
7	15 Apr 19	Service Quality	Non-delivery of Core Offer and STAR Business Plan	1	3	3	Delivery via Task & Finish Squads with regular reporting to STAR Wider Leadership Team CI Group and Quarterly reporting CI to Board/JC	Lorraine Cox

							LT review of the STAR Business Plan Category Strategies in place and regular STAR Chamber Regular 121 with Board members and regular meetings with service leads <b>and regular reporting to Board/JC</b>	
12	15 Apr 19	ICT & Data	Unavailability of key third party systems, e.g. The Chest, Social Value Portal, In-tend, Sharpspring etc, impact on service delivery and supplier interaction	1	3	3	STAR ensures that business continuity clauses are embedded into contracts to minimise any downtime of third party systems  Each systems has a nominated Contract Manager within STAR	Nichola Cooke
11	15 Apr 19	ICT & Data	STAR staff are unable to access the Trafford systems	1	3	3	STAR colleagues are provided with mobile connectivity which enables Wi-Fi hotspot creation Business Continuity Plan is in place and reviewed annually, or more frequently if required Laptop refresh has been undertaken to upgrade existing IT equipment <b>Completion of</b> the implementation of Office 365 will provide greater resilience	Nichola Cooke
9	15 Apr 19	Service Quality	Conflict between Partners' requirements and <b>commissioned activity</b> leads to an inability to deliver effectively to both Partners and customers	1	2	2	Customer activity secured, managed and delivered by the Development Team External resources i.e. agency staff utilised HoSPs monitor workload with their teams The charging policy ensures that resources can be made available to service Customer requirements at full cost recovery Leadership Team ensures that Customer agreements (SLAs) include realistic requirements Annual 'Know Your Business' analysis undertaken on procurement activity	Nichola Cooke
13	15 Apr 19	ICT & Data	Reliance on spend and other data from Partners with inability to influence data quality impacts on category management	1	2	2	Tableau has been implemented for spend analysis ensuring consistency, accuracy and regular monthly reporting Roles and responsibilities and standard templates developed to ensure quality of data from Partners Cyclical Reporting Plan and Data Protocol in place	Nichola Cooke
17	15 Apr 19	PR	Poor PR impacts on STAR and its Partners' and customers' reputations	1	2	2	Relationship management with all stakeholders STAR complaints procedure in place to ensure any issues are resolved consistency and promptly STAR social media fields are monitored Utilise Council Communications teams when required	Nichola Cooke
<del>024</del> NEW	10 Feb 22	Growth	<del>remove</del> Increased income generation activity leading to non-compliance with relevant legislation	1	4	4	<del>A review to be commissioned to assess the current arrangements and potential future risks</del>	Lorraine Cox
<del>026</del> NEW	28 Feb 22	Legal	<del>remove</del> Legal Challenge arises due to emergency procurements undertaken during the COVID response in line with published Procurement Policy Notes	1	4	4	<del>STAR have followed the advice issued in the Procurement Policy Notes and have proactively managed all urgent/emergency procurement activity</del>	Elizabeth McKenna