

Report of:	Head of Governance & Corporate Services
Contact Officer:	Stephen Baddeley
Contact Number:	01543 464 415
Portfolio Leader:	Innovation & High Streets
Key Decision:	No
Report Track:	Cabinet: 11/11/21 Audit & Governance Cttee: 06/12/21

**Audit & Governance Committee
6 December 2021
Strategic Risk Register**

1 Purpose of Report

- 1.1 To set out details of the Council's Strategic Risk Register as at 30th September 2021.

2 Recommendation(s)

- 2.1 That the Committee notes the Strategic Risk Register and considers the progress made in the identification and management of the strategic risks.

3 Key Issues and Reasons for Recommendations

Key Issues

- 3.1 All strategic risks and associated action plans have been reviewed and the Council's risk profile is summarised in the table below:

Risk Status	Number of Risks at 1st April 2021	Number of Risks at 30th September 2021
Red (High)	4	4
Amber (Medium)	3	3
Green (Low)	0	0
TOTAL	7	7

Reasons for Recommendations

- 3.2 The Audit & Governance Committee is responsible for monitoring progress in completing actions identified in the Strategic Risk Register.

4 Relationship to Corporate Priorities

- 4.1 This report supports the Council's Corporate Priorities as follows:
- (i) Risk management is a systematic process by which key business risks / opportunities are identified, prioritised and controlled so as to contribute towards the achievement of the Council's aims and objectives.
 - (ii) The strategic risks set out in the Appendices have been categorised against the Council's priorities.

5 Report Detail

- 5.1 The Accounts & Audit Regulations 2015 state that:
- “A relevant body must ensure that it has a sound system of internal control which:-
- (a) facilitates the effective exercise of its functions and the achievement of its aims and objectives;
 - (b) ensures that the financial and operational management of the authority is effective; and
 - (c) includes effective arrangements for the management of risk.”
- 5.2 Risk can be defined as uncertainty of outcome (whether positive opportunity or negative threat). Risk is ever present and some amount of risk-taking is inevitable if the council is to achieve its objectives. The aim of risk management is to ensure that the council makes cost-effective use of a risk process that has a series of well-defined steps to support better decision making through good understanding of risks and their likely impact.

Management of Strategic Risks / Opportunities

- 5.3 Central to the risk management process is the identification, prioritisation and management of strategic risks / opportunities. Strategic Risks are those that could have a significant impact on the Council's ability to deliver its Corporate Priorities and Objectives.
- 5.4 The risk register has been updated as at 30th September 2021 and a summary is attached as **Appendix 1**. The 1st of April 2021 review had aligned the risks to the new Corporate Plan priorities and the position at 30th September has also been updated to allocate risks to the revised portfolios. The mid-year review is a chance to update the risk register with progress made in delivering the agreed actions as well as a chance to reflect changes in the risks or risk scores and where necessary add in new actions.

- 5.5 The risk summary illustrates the risks / opportunities using the “traffic light” method i.e.
- Red** risk score 12 and above (action plan required to reduce risk and/or regular monitoring)
- Amber** risk score 5 to 10 (action plan required to reduce risk)
- Green** risk score below 5 (risk tolerable, no action plan required)
- 5.6 There has been no change in the number of strategic risks; there are 7 strategic risks of which 4 have been scored as high and 3 as medium.
- 5.7 Risk C2 “The economy of the District is adversely impacted” has decreased from a 20 Red to a 12 Red primarily due to signs that the District’s economy is starting to recover from the impact of the pandemic as indicated by unemployment rates falling and the number of job vacancies increasing. However, there are still risks due to the fuel shortages, logistical issues due to HGV Driver shortages and increasing costs of energy which may have an impact on the economy of the District.
- 5.8 Risk C4 “The Council’s key contractors remain sustainable and continue to provide value for money” has increased back to a 20 Red after dropping to a 15 Red in the April review. This change is primarily due to the uncertainties over the future arrangements of the Waste Contract and tight time scales is a market testing exercise is required. In addition, there is a significant uncertainty created by issues such as the current HGV Driver shortage, fuel access issues and the full impact relating to the implementation of the Government’s Waste Resources Strategy.
- 5.9 The detailed action plans for each risk are set out in the full strategic risk register attached at **Appendix 2**. This includes a progress update. The action plans are closely aligned to the Council’s Recovery plans and will be kept under review.

6 Implications

6.1 Financial

None

6.2 Legal

None

6.3 Human Resources

None

6.4 Risk Management

The Risk Management implications are included within the body of the report and appendices.

6.5 **Equality & Diversity**

None

6.6 **Climate Change**

None

7 Appendices to the Report

Appendix 1 – Summary of Strategic Risks – 30th September 2020

Appendix 2 – Strategic Risk Register – 30th September 2021

None

Background Papers

File of papers kept in the Chief Internal Auditor & Risk Manager's office.

Cannock Chase Council

Summary of Strategic Risk Register as at 30 September 2021

Risk No	Potential Risks	Risk Owner	Date Added to Register	Residual Risk Score at April 2021	Residual Risk Score at September 2021	Direction of Travel over period reported
---------	-----------------	------------	------------------------	-----------------------------------	---------------------------------------	--

Red Risks

C1	The Council's financial stability is adversely affected in the short and medium term	Head of Finance	May 2020	12 Red	12 Red	↔
C2	The economy of the District is adversely impacted	Head of Economic Prosperity	May 2020	20 Red	12 Red	↓
C4	The Council's key contractors remain sustainable and continue to provide value for money	Head of Environment & Healthy Lifestyles	May 2020	15 Red	20 Red	↑
C5	The Council doesn't have sufficient officer capacity or financial resources to sustain delivery of essential services, key projects and support work on recovery	Managing Director	May 2020	20 Red	20 Red	↔

Amber Risks

C7	Failure to put in place safe working practices and social distancing measures to protect employees and the public	Head of Governance & Corporate Services	May 2020	10 Amber	10 Amber	↔
C3	Failure to work in partnership to sustain support to vulnerable residents' post Covid-19	Head of Housing & Partnerships	May 2020	9 Amber	9 Amber	↔
C6	Failure to repel or recover from a Cyber-attack including targeted ransomware, malware and Distributed Denial of Service (DDoS) attacks. The move to home working has increased the vulnerability to malware issues.	Head of Technology	May 2020	9 Amber	9 Amber	↔

Key to Direction of Travel



Risk has decreased



Risk level unchanged



Risk has increased

Cannock Chase District Council – Strategic Risk Register as at 30th September 2021

Ref No: C1	Risk: The Council's financial stability is adversely affected in the short and medium term		
Risk Owner: Head of Finance		Portfolio: The Leader	
<p>Consequences Of Risk:</p> <ul style="list-style-type: none"> • Unable to provide desired levels of service • Town Centre redevelopment proposals are impacted • Council size becomes too small to sustain a viable organisation 			
<p>Links To Priorities:</p> <ul style="list-style-type: none"> • Financially Resilient Council 			
Gross Risk Score (i.e., without controls)	Likelihood: 4	Impact: 5	Total Score: 20 – Red
Residual/Net Risk Score (i.e., with controls)	Likelihood: 4	Impact: 3	Total Score: 12 – Red
<p>Controls in Place</p> <ul style="list-style-type: none"> • Medium term financial plan in place • Annual Financial Plan and Medium-Term Financial Strategy to 2023/24 in place • The Revenue Budget for 2021/22 is balanced with a potential deficit of £1,359,000 for 2022/23 if a new regime is implemented • Working Balances maintained • Comprehensive Service Review being undertaken to re-align resources to Corporate Plan • Corporate Budget Monitoring • Evaluation of consultations on changes to government funding regimes 			

Actions Planned	Timescale/ Person Responsible	Progress / Comments
Monitor Financial Impact of COVID-19	Head of Finance	Monthly monitoring in place
Update Financial Plan in relation to the deferment of 75% Business Rates Retention and Fair Funding by a year	Head of Finance	Scenarios developed reflecting potential treatment of growth and levy Details awaited of new timescale for implementation
Refresh Medium Term Financial Plan based upon alternative scenarios of short /medium- and long-term impact of in relation to external funding sources	Head of Finance	Ongoing Financial Plan approved by Cabinet 12 th November 2020 New Financial Plan to be completed in 2021/22
Lobby Ministry of Housing, Communities and Local Government (MHCLG) via MP/ District Councils Network (DCN) and Local Government Association (LGA) re financial impact of COVID 19 on CCDC	Chief Executive / Head of Finance	Ongoing contact with M.P.s, DCN, West Midland Chief Executives, LGA and directly with ministers.
Determine feasibility of extending Business Rates Pool into 2021/22 Monitor impact of COVID-2019 on pool by authority on a month-by-month basis Liaise with Staffordshire & Stoke-on-Trent Business Rate Pool Members re options to maintain viable pool for 2021/2022 Prepare options report to Leaders and Chief Executives	Head of Finance	Pool Established for 2021/22
Determine impact of Government proposals for key funding regime changes for 2022/23	Head of Finance	Ongoing

Actions Planned	Timescale/ Person Responsible	Progress / Comments
Programme of service reviews to be undertaken to ensure that resources are aligned to the Council's priorities and are operating as efficiently as they can be	Chief Executive / Head of Finance	To form part of 2022-23 Budget Process

Overall Progress Summary:

Monitoring of the Financial impact of Covid -19 is ongoing. The estimated impact of the pandemic has been reflected in the Medium-Term Budget as approved by Council with a balanced budget in place for 2021-22.

The medium-term financial stability of the Council is however dependent upon changes arising from the future funding regime for local government. Details in relation to the implementation of 75% Business Rates Retention and Fair Funding and Business Rates Reset are still awaited

A consultation document in relation to the Future of New Homes Bonus, beginning in 2022/23, was published on the 21 February 2021 (a response from the Council was submitted in advance of the closing date of 7 April 2021)

The Council is still awaiting details of the financial Settlement for 2022-23 to be provided by Central Government.

Ref No: C2	Risk: The economy of the District is adversely impacted		
Risk Owner: Head of Economic Prosperity	Portfolio: District Development		
Consequences Of Risk:			
<ul style="list-style-type: none"> • Increase in numbers of resident unemployed and economically inactive • Business failures and associated job losses • Reduced growth and prosperity for local residents • Decline of town centres / impact on major redevelopment proposals • NNDR / Council Tax Income does not grow 			
Links To Priorities:			
<ul style="list-style-type: none"> • Supporting Economic Recovery 			
Gross Risk Score (i.e., without controls)	Likelihood: 4	Impact: 5	Total Score: 20 – Red
Residual/Net Risk Score (i.e., with controls)	Likelihood: 4	Impact: 3	Total Score: 12 – Red
Controls in Place			
<ul style="list-style-type: none"> • Economic Prosperity Strategy refresh • Development of an Investment Plan to identify long term project pipeline • Cannock Town Centre Development Prospectus • Funding bid to the Government’s Levelling Up Fund for Cannock Town Centre • The Local Plan Review to identify future development opportunities • Proactive work with Greater Birmingham and Solihull (GBSLEP) and Stoke-on-Trent and Staffordshire (SSLEP) Local Enterprise Partnerships / West Midlands Combined Authority (WMCA) • Business Relationships work/promoting the District via the Economic Development function 			

Actions Planned	Timescale / Person Responsible	Progress / Comments
<p>Business support</p> <ul style="list-style-type: none"> Local implementation of national support measures: business rates holidays, Retail & Hospitality Grants, Small Business Grants, Discretionary Grants. 	<p>Head of Finance / Head of Economic Prosperity</p>	<p>Significant progress has been made in distributing business support grants.</p> <p>The Council has fully allocated its £2.9m Additional Restrictions Grant allocation and has been awarded 'top-up' funding of £635k. A new ARG Policy is currently being developed and will target businesses that can demonstrate that Covid restrictions have adversely impacted on their business.</p>
<ul style="list-style-type: none"> Encourage new inward investment and local business growth working in partnership with LEPs, Growth Hubs and County Council. 	<p>Head of Economic Prosperity</p>	<p>The Economic Development team continues to work pro-actively to promote the District and provide information on available employment sites to prospective investors and expanding local companies.</p>
<p>Refresh the Economic Prosperity Strategy to take account of changing economic environment</p>	<p>Head of Economic Prosperity</p>	<p>Impact of economic recession is currently being monitored by the Economic Recovery subgroup. Furlough scheme ended on 30th September and early signs are that the District's unemployment rate is beginning to decrease.</p> <p>Economic Prosperity Strategy refresh will set out the Council's plan to tackle the increase in unemployment and create a pipeline of new job opportunities. Work has started on the refresh but timescale with consultancy support to be procured to assist with facilitation of workshops with members to review the vision, priorities and action plan.</p>
<p>Revisit regeneration proposals for Cannock Town Centre in light of change to economic climate and reduced investor/developer confidence.</p>	<p>Head of Economic Prosperity</p>	<p>The Council submitted a bid for £20m to the Government's Levelling Up Fund for Cannock Town Centre in June 2021. A decision is expected during autumn 2021.</p> <p>Officers are currently progressing technical work to examine feasibility of demolition of MSCP. Business case to be prepared and presented to Cabinet during late 2021 depending on the timing of the Levelling Up Bid announcement.</p>

Actions Planned	Timescale / Person Responsible	Progress / Comments
		Avon Road Car park – Cabinet have approved disposal of the site – terms currently being agreed.
Pro-actively work with WMCA, GBSLEP, SSLEP to promote the District and identify opportunities for growth during recovery phase	Head of Economic Prosperity	<p>The Council continues to actively participate in the GBSLEP and SSLEP and Combined Authority and both organisations are leading on the region’s response to economic recovery. A nationwide review of LEPs is currently being undertaken which may affect the Council’s membership of both LEPs going forward.</p> <p>Work to develop an Investment Plan to identify a future list of priority projects is to be commissioned by officers.</p> <p>South Staffordshire College has secured £550k of funding from SSLEP to develop a Digital Skills Academy as part of £23m SSLEP allocation from MHCLG Getting Building Fund. The Digital Skills Academy opened on 20th September 2021.</p>
Revised Local Plan to be produced and delivered	Head of Economic Prosperity	<p>Local Plan Review underway with a new Local Development Scheme approved by Council.</p> <p>The next stage of the Local Plan i.e., the Pre-submission version of the Plan is due to be presented to Cabinet in early 2021 to enable the Council to go out to consultation.</p>

Overall Progress Summary:

The District’s economy has been impacted by the COVID-19 pandemic and restrictions but there are early signs that the economy is recovering with unemployment rates starting to decrease and a large number of job vacancies available. However, there is on-going economic uncertainty due to the current fuel shortages, energy supply issues and supply chain issues affecting the food and drink and logistics industries. These may have an impact on the local economy and will be kept under review.

The Council needs to refresh its Economic Prosperity Strategy to set out how the Council can support the economy, create new job opportunities, help businesses to survive and to support new businesses to start-up. Major investments such as the McArthur Glen Designer Outlet and Rugeley Power Station continue to be absolutely critical in supporting the prosperity and growth of the District.

Ref No: C3	Risk: Failure to work in partnership to sustain support to vulnerable residents' post Covid-19		
Risk Owner: Head of Housing & Partnerships	Portfolio: Neighbourhood Safety & Partnerships		
<p>Consequences Of Risk: Vulnerable people at risk of not receiving help and support therefore increasing issues such as:</p> <ul style="list-style-type: none"> • Rough Sleepers displaced • Increased Reliance on Food Banks • Distribution of emergency food supplies • Increased Social Isolation • Increased number of Safeguarding Referrals • Increases in criminality – distraction burglary; cybercrime; county lines etc. • Increased incidents of anti-social behaviour • Increased number of Domestic Abuse Incidents • Community Unrest & Tensions 			
<p>Links To Priorities:</p> <ul style="list-style-type: none"> • Supporting Health & Wellbeing 			
Gross Risk Score (i.e., without controls)	Likelihood: 4	Impact: 5	Total Score: 20 – Red
Residual/Net Risk Score (i.e., with controls)	Likelihood: 3	Impact: 3	Total Score: 9 – Amber
<p>Controls in Place</p> <ul style="list-style-type: none"> • Community Vulnerability Hub Established • Weekly Community Safety Hub • Housing First Project with Spring Housing • Frequent Meetings with Food Banks & Voluntary Sector • Centralised Emergency Food Supply • Daily management of safeguarding referrals for both adults and children • Weekly multi agency Community Safety Hub meetings – proactive problem solving • Weekly threat and risk Community Safety and Police meeting – managing threat and risk to district (people / place / Covid–19 breaches) • Development of a weekly MARAC (Multi Agency Risk Assessment Conference) regarding high-risk Domestic Violence cases • Community Wellbeing Partnership in place that can escalate any issues to Local Strategic Partnership • Commissioned services in place to support with mental health and substance misuse, antisocial behaviour, and domestic abuse. • Representation at County, Regional and National level multi-agency partnership meetings • Evictions currently suspended but due to recommence from 1st October 2021 			

Actions Planned	Timescale / Person Responsible	Progress / Comments
<p>Group being set up to support the Community Recovery work stream – this will look at:</p> <ul style="list-style-type: none"> • Lessons learnt • How the level of support can be sustained going forward • Planning for the future and development of an action plan 	<p>Completed Head of Housing & Partnerships</p>	<p>Lessons Learnt Report Completed</p> <p>Chase Coronavirus Support Network (CCSN) have confirmed that the Group is no longer active and will be working in a signposting capacity. CCDC has taken on the role of Anchor Organisation across the District.</p>
<p>Extend commissioned services that provide lower-level support to individuals experiencing drugs and alcohol use and mental health; outreach support for anti-social behaviour; and sanctuary provision for domestic abuse</p>	<p>Head of Housing & Partnerships</p>	<p>Human Kind Charity – Drug & Alcohol Support - Commissioned by Staffordshire County Council (SCC)</p> <p>Exploring options to fund a Specialist Mental Health Worker (Housing Options Funding) to support Spring Housing First Project</p> <p>Working with Midlands Partnership Foundation Trust (MPFT) to transform Mental Health Services. Proposals to embed an additional Housing Liaison/Support Worker within MPFT.</p>
<p>Housing 1st Project – Secure permanent accommodation for the Rough Sleepers</p>	<p>Strategic Housing Manager</p>	<p>2-year contract initially awarded to Spring Housing under Rough Sleepers Pathway Project in partnership with Lichfield DC – Contract extended for additional 12-months with option available to extend for further 12-month period to continue to provide a rough sleeping outreach service and housing first accommodation and support for entrenched (complex needs) rough sleepers.</p> <p>Additional bids for grant funding for a Substance Abuse Worker and Mental Health Worker have been successful.</p> <p>5 rough sleepers rehoused and supported in the HRA flats provided to Spring Housing under a management agreement.</p> <p>Other long-term accommodation secured for a further 2 Rough Sleepers.</p>

Actions Planned	Timescale / Person Responsible	Progress / Comments
		<p>Application for Next Steps Accommodation Programme Funding Bid for £115k (match funded) for purchase and letting of 2 additional flats. Purchase of 2 flats completed and 2 rough sleepers rehoused and receiving support.</p> <p>Application to 21/22 RSAP considered but no projects suitable for submission.</p>
Additional support to Private Rented Sector to mitigate impact of the ending of the suspension of evictions	Strategic Housing Manager	<p>Additional support to private rented tenants to be provided by a Tenancy Support Worker within the Housing Options Team funded by Homelessness grants. Post to be advertised in Q3.</p> <p>Working in partnership with Lichfield DC and Tamworth BC a new service “Call Before You Serve” to be provided aimed at preventing avoidable evictions or where unavoidable to mitigate the impact of homelessness. New service will provide support, advice and assistance for private rented sector landlords considering taking action to end a tenancy.</p>
To maximise the benefit of any legacy from the increase in voluntary activity in the local community	Head of Housing & Partnerships	<p>On-going meetings scheduled – work with Support Staffordshire on social prescribing</p> <p>Cabinet has approved funding for Support Staffordshire to engage with the Voluntary Sector – project started 01.12.2020</p> <p>Further Cabinet Report (November 2021) to extend the funding proposal to July 2022.</p> <p>Support Directories Produced by Support Staffordshire and Rugeley Community Church.</p>
Work in conjunction with Inspiring Healthy Lifestyles to support individuals and communities to mitigate the impact of Covid-19 on health and well being	Head of Environment & Healthy Lifestyles	<p>On-going – family activity packs have been delivered to households</p> <p>Voluntary Groups – Summer Recess</p> <p>SPACE Project given go-ahead</p>

Actions Planned	Timescale / Person Responsible	Progress / Comments
Establishing a strong link with the Community Vulnerability Hub	Complete (Partnerships, Community Safety & CCTV Manager)	This has been adopted as part of daily business.

Overall Progress Summary:

There are 2-3 rough sleepers in the district whom Spring Housing are working with them to source permanent accommodation. Housing First project partnership working with MPFT to fill the Mental Health Worker role.

Eviction suspension now lifted although many Assured Shorthold Tenants are on extended notices cases in Court and eviction warrants are increasing. Housing Options Team to recruit a new post, Tenancy Support Worker and commission a new service 'Call Before You Serve' to mitigate the impact on homelessness from the ending of the eviction suspension.

In order to assist residents with on-line shopping the County Council have made available 7 tablets that can be gifted to residents on a first come basis. The tablets have been allocated to the voluntary sector groups who have been working with the Council to provide support to vulnerable residents.

Meetings with the Voluntary Sector are continuing. The County Council have only referred around 5 to 6 families for support over the last 3 months. The Council continues to receive an allocation of £3,000 per month from the County to provide on-going support to individuals and families who are self-isolating.

Ref No: C4	Risk: The Council's key contractors remain sustainable and continue to provide value for money		
Risk Owner: Head of Environment & Healthy Lifestyles	Portfolio: Housing Heritage & Leisure and Environment & Climate Change		
Consequences Of Risk:			
<ul style="list-style-type: none"> • Potential for an individual contract failure resulting in a service not being delivered • Reputational damage and complaints • Financial loss 			
Links To Priorities:			
<ul style="list-style-type: none"> • Financially Resilient Council 			
Gross Risk Score (i.e., without controls)	Likelihood: 4	Impact: 5	Total Score: 20 – Red
Residual/Net Risk Score (i.e., with controls)	Likelihood: 4	Impact: 5	Total Score: 20 – Red
Controls in Place			
<ul style="list-style-type: none"> • Regular contact and performance management meetings with key personnel for each contractor • Robust contract management • Any key issues are discussed with Leadership Team and Members as appropriate • Discussions with other authorities who have the same or similar contracts • Appointment of Leisure, Culture & Commonwealth Games Officer on two-year fixed term contract to 2022-2023 to support the service and manage relationships with IHL (Inspiring Healthy Lifestyles) 			

Actions Planned	Timescale / Person Responsible	Progress / Comments
Service delivery of key contracts is being monitored and managed	Ongoing during response and recovery as required Head of Environment & Healthy Lifestyles Leisure, Culture & Commonwealth Games Officer	Regular contact is being maintained with contractors to resolve any issues
Financial assistance to be provided where appropriate to support key contractors (IHL)	Ongoing during response and recovery as required Head of Finance Head of Environment & Healthy Lifestyles	The withdrawal of Wigan Metropolitan Borough council (WMBC) and the uncertainty with Selby District Council, (SDC) and their contractual relationship with IHL have had a continuing impact on the viability and financial risk on the operator IHL. A formal Deed of Variation, (DoV) has been drafted and has been executed between IHL and Cannock and IHL and SDC to put in place a mechanism for 'open book' accounting and continuous monitoring of the financial performance and viability of IHL in line with the report to Cabinet on Some of the uncertainty in relation to the contractual relationship between IHL and SDC that continues to have an adverse impact on Cannock Chase DC seems to have reduce for the time being, however, the contractual relationship still remains a concern.
Contact with other Councils, Local Government Association and Sport England	Ongoing during response and recovery as required Heads of Service Contracts and Procurement Manager	The Council has had ongoing contact with other Council's operating similar contracts and Sport England to try and ensure the ongoing viability of its leisure operations. The Council have been actively engaged with the Staffordshire Leisure Officers Group, (PALS) to share experience, knowledge and learning in relation to the impact of the pandemic on Leisure and Culture Services.

Actions Planned	Timescale / Person Responsible	Progress / Comments
Lobbying of Ministry of Housing, Communities and Local Government (MHCLG) via Members of Parliament, District Council Network and Local Government Association re financial impact of COVID 19 on CCDC	Ongoing during response and recovery as required Chief Executive Head of Finance	Information provided regarding the financial impact of COVID-19 on contracted services Managing Director and Head of Finance are continuing to lobby local MP. Letter to MP 16 th October 2020 and further contact made on 10 th November 2020. CCC has received a response from Central Government in relation to the above which detailed the steps that had been taken by them since the start of the pandemic, all of which the Council was aware of and had actioned to date.
Monitoring Government guidance on COVID-19 on services that can be delivered as lockdown is eased	Heads of Service Service Managers Contracts and Procurement Manager	All facilities reopened over the summer of 21. Visits are still lower than pre-pandemic, which is impacting upon income, as it is widely across the industry.
Change to dry recycling collection service from April 2022	Head of Environment & Healthy Lifestyles	The decision was taken by CCC to move to a dual stream collection service for residents dry mixed recycling following market testing to improve quality and the cost of continuing to dual stream co-mingled material.
Waste and Recycling Collection Contract (End of first 7-year term (2023))	Waste and Engineering Services Manager	The service change will come into effect from April 2022. Currently officers are procuring new containers (bags) for that service to a very tight deadline. The Council's waste and recycling collection contractor is in the process of procuring different vehicles to accommodate the change of service from what is a limited market. The Council's waste and recycling collection contract ends its first 7-year term in March 2023. The Council has a limited number of options

Actions Planned	Timescale / Person Responsible	Progress / Comments
		available. Due to the requirement of a 6-month lead in for any new contractor to take over the service and full market testing would have to be undertaken within a very short time frame. The markets and conditions are currently not considered to be at their optimum to undertake full market testing due to the HGV driver shortage and the position in relation to the final announcement in regard to HM Government's Waste and Resources Strategy 2018.

Overall Progress Summary:

Regular contact is being maintained with the Council's key contractors.

Progress has been made with the safe re-opening of the key leisure facilities. However, this recovery and the risk of future sustainability has been impacted by the 2nd and third lockdowns, resulting in a reassessment of the risk score. This risk is partially mitigated through receipt of £210k and the finalisation of the proposed Deed of Variation.

In respect of the Waste Contract all services are being provided and discussions are ongoing with the Regional and Local Contract Managers to monitor and resolve any local issues around contaminated waste levels etc. Soft market testing has been undertaken with other Staffordshire Councils in respect of waste recycling contracts. The waste recycling tenders for the Councils dry mixed recycling have been received and evaluated and the options around service continuation are being reviewed and due to be reported to Cabinet in Q1 2021-22. The decision was taken to move to the collection of dual stream dry recycling material from April 2022 across the district, due to quality requirement and increased costs associated with continuing to co-mingle. In relation to the waste and recycling collection contract time frames for full market testing are considered very tight and there remains uncertainty in relation to risk of impact of risk and costs, for example the nationwide HGV driver shortage and fuel. In addition the full extent and requirement of HM Government's Waste and Resources Strategy 2018 is still not understood.

Ref No: C5	Risk: The Council doesn't have sufficient officer capacity or financial resources to sustain delivery of essential services, new Covid19 Government policies, key projects and support work on recovery		
Risk Owner: Chief Executive	Portfolio: The Leader		
Consequences Of Risk: <ul style="list-style-type: none"> • The Council's response during a declared Major Incident is not effective. • Services and projects are not delivered and this impacts on residents / the public. • The requirements of any new Covid19 related Government policies not implemented effectively. • Employees' wellbeing affected, increase in absence due to stress 			
Links To Priorities: <ul style="list-style-type: none"> • Financially Resilient Council 			
Gross Risk Score (i.e., without controls)	Likelihood: 4	Impact: 5	Total Score: 20 – Red
Residual/Net Risk Score (i.e., with controls)	Likelihood: 4	Impact: 5	Total Score: 20 – Red
Controls in Place <ul style="list-style-type: none"> • Regular assessment of implications of Government / MHCLG Covid19 related policy announcements as set out in Coronavirus Bulletins and Ministerial Letters for action. • Additional funding secured for Covid19 related policies e.g., Test and Trace, resettling rough sleepers etc. • Suspension of lower priority activities, meetings and projects. • Management capacity issues are monitored by Leadership Team; officer time reallocated to more important duties as required e.g., Vulnerability Hub. Day to day operational capacity issues addressed by managers e.g., sickness absence. • Regular monitoring of priorities • Provision of support to employees especially as majority remain working remotely. 			

Actions Planned	Timescale / Person Responsible	Progress / Comments
Regular assessment of implications of Government / MHCLG Covid19 related policy announcements as set out in Coronavirus Bulletins and Ministerial Letters for action	Leadership Team	This is an ongoing activity
Review of existing priorities and PDPs in light of Recovery Planning work	Leadership Team / Cabinet	<p>The PDPs for 2020/21 have been reviewed and revised PDPs approved by Council.</p> <p>A review of Corporate Priorities has been completed and a new Corporate Plan produced for 2021-24 which takes into account ongoing recovery work.</p> <p>Completed</p>
Review of essential services and operational work plans to re-prioritise work	Heads of Service	<p>The majority of services are operating normally, though some have backlogs to clear.</p> <p>Completed</p>
Where necessary, considering whether resources from other parts of the Council can be transferred for a period.	Leadership Team	Ongoing operational decisions
Management review	Chief Executive	<p>The Council has approved the appointment of the Chief Executive of Stafford Borough Council as joint Chief Executive for 14 months pending the development of a business case for longer term sharing between the two Councils. As part of this work, there will be a review of the management structure. Two vacant Head of Service posts have been filled on an interim basis with internal candidates with some associated back-filling of their substantive posts. A Deputy Chief Executive has also been appointed for each Council to assist the Chief Executive.</p>

Overall Progress Summary:

The majority of services are now operating normally, though some have backlogs to clear. Work from the response and recovery phases continues to have an ongoing impact on officer capacity, with considerable pressure on key service areas. Officer capacity continues to be reviewed and work prioritised. Going forward, the management structure will be reviewed as part of the development of a business case for further sharing of services and a Chief Executive with Stafford Borough Council. The current arrangements have seen some temporary changes to allow the vacant Head of Service posts to be covered but the overall management resources of the Council have not changed significantly.

Ref No: C6	Risk: Failure to repel or recover from a Cyber-attack including targeted ransomware, malware and Distributed Denial of Service (DDoS) attacks. The move to home working has increased the vulnerability to malware issues.		
Risk Owner: Head of Technology	Portfolio: Innovation & High Streets		
Consequences Of Risk: <ul style="list-style-type: none"> • Data, Systems and Applications inaccessible • Inability to deliver Council services • Cybercrime/ Fraud/ Ransom demands/ Financial harm • Reputational damage locally and nationally • Data Loss & breach of Data Protection Act (DPA) • Financial Loss 			
Links To Priorities: <ul style="list-style-type: none"> • Financially Resilient Council 			
Gross Risk Score (i.e., without controls)	Likelihood: 4	Impact: 5	Total Score: 20 – Red
Residual/Net Risk Score (i.e., with controls)	Likelihood: 3	Impact: 3	Total Score: 9 – Amber
Controls in Place <ul style="list-style-type: none"> • Information Risk Management Regime – Assess the risks to our information assets, effective governance structure, Leadership Team engagement with cyber risk, produce supporting information management policies. • Secure configuration – Corporate policies and processes to develop secure baseline builds • Network Security – Protection and secured perimeter of external security threats and untrusted networks • Managing user privileges – All users of ICT systems provided with privileges suitable for their role • User education and awareness – Security policies that describe acceptable and secure use of ICT assets • Incident management – Incident response and disaster recovery capabilities that address the full range of incidents that can occur • Malware prevention – Produce policies that directly address the business processes (such as email, web browsing, removable media and personally owned devices) • Monitoring – Established monitoring taking into account previous security incidents and attacks. Annual IT Health Check and penetration testing conducted by a Council of Registered Ethical Security Tester (CREST)/Communications-Electronics Security Group (CESEG) Listed Advisor Scheme (CLAS) - accredited Government Communication Headquarters (GCHQ) approved consultants. • Removable media controls – Produce removable media policies that control the use of removable media for the import and export of information • Home and mobile working – Assess the risks to all types of mobile working including remote working and develop appropriate security policies 			

Actions Planned	Timescale / Person Responsible	Progress / Comments
Information Risk Management- Continuous review and work on our information risk management regime	Ongoing / Head of Technology	Policies under review.
Monitoring – External and Internal checks. Threat and vulnerability assessment and remediation including Annual IT Health Check by CLAS approved consultant with remedial work carried out	Ongoing / Head of Technology	Annual Health check completed in August 2020. Reviewed by the cabinet office. This was slightly delayed due to their capacity issues. Follow-up check is planned for February 2022. A similar review is underway to attain the Cyber Essentials Plus security level.
Application Security Assessment and Remediation action taken	Annually Head of Technology	The health check and Cyber Essentials Plus will produce an action plan to feed into this.
Limit the access to critical systems and data by non-corporate devices.	September 2021 Head of Technology	During 2020 we were able to increase the number of corporate laptops that access the internal systems. Almost all access by officer is now through a corporate laptop which increases the overall security.
Exploring options to improve security for sharing information with external partners	Ongoing / Head of Technology	Further use of Teams to provide secure access to data for our partners.
The move to home working has increased the vulnerability to malware issues. The use of cloud technology has reduced the likelihood due to the data being segregated across systems and devices.	Ongoing / Head of Technology	Email mailboxes are now held in the cloud. Data files will also be moved during 2021/22
Require one-time passwords for all email connections.	Systems Manager	Partially complete

Overall Progress Summary:

Work has been completed and further actions are in progress. However, the environment means that new risks and challenges are always developing, and attacks are becoming more sophisticated.

Ref No: C7	Risk: Failure to ensure that there are adequate safe working practices and social distancing measures in place to protect employees and the public		
Risk Owner: Head of Governance & Corporate Services	Portfolio: Innovation & High Streets		
Consequences Of Risk: <ul style="list-style-type: none"> • Failure to meet health and safety standards could lead to prosecution. • Unable to restore some services. • Risk of infection to employees, partners/contractors in the workplace and the public • Employees refuse to return to work 			
Links To Priorities: <ul style="list-style-type: none"> • Financially Resilient Council 			
Gross Risk Score (i.e., without controls)	Likelihood: 4	Impact: 5	Total Score: 20 – Red
Residual/Net Risk Score (i.e., with controls)	Likelihood: 2	Impact: 5	Total Score: 10 – Amber
Controls in Place <ul style="list-style-type: none"> • Health & Safety Policies and Practices both existing and revised • Health & Safety controls (including risk assessment) in place in line with Government Guidance and best practice • Health & Safety Advice provided • Provision of Occupational Health advice as required • Promotion of wellbeing, signposting to information, mental health champions 			

Actions Planned	Timescale / Person Responsible	Progress / Comments
Organisational Recovery work stream to oversee the development of a co-ordinated approach to ensuring the safe return on employees to the workplace	Completed Head of Governance & Corporate Services	Process established and guidance issued to managers to support initial return to the workplace. This has been reviewed during the summer and updated as restrictions have been eased. Service, Office and Individual Risk Assessments have been completed for all areas by Managers to allow for an increase in the number of employees in the offices from mid-September.
Role based risk assessments to be completed in line with HSE and Government Guidelines, employee guidance prepared, and employees briefed before returning to work	Completed Service Managers	Guidance has been issued to managers and role-based risk assessments have been completed, as required, and agreed with the Health & Safety Officer and the Trade Unions
Continue to monitor and review guidance issued by Government and communicate to managers as required	Chief Internal Auditor & Risk Manager	Work is ongoing to monitor and update guidance for managers
Review content of Health & Well-being Strategy to take account of impact of COVID-19 on the workforce	HR Manager	This is being considered as part of the Organisational Reshaping work. HR have put in place a range of support for employees and managers to aide mental health and wellbeing.

Overall Progress Summary:

Risk assessments were prepared at the outset of the first lockdown and have continued to be reviewed and updated to reflect the latest Government Guidance. Workplace risk assessments have been completed for all key sites.

A revised risk assessment and reduced restrictions have allowed a larger number of employees to be able to return to the office from mid-September. The majority of office-based employees are continuing to work at home for some or most of the time but with an encouragement for all staff to spend some time in the offices and an encouragement for some face-to-face team meetings making use of larger meetings rooms. Leadership Team continues to monitor the situation.