

<b>Report of:</b>	<b>Head of Governance &amp; Corporate Services</b>
<b>Contact Officer:</b>	<b>Judith Aupers</b>
<b>Contact Number:</b>	<b>01543 464411</b>
<b>Report Track:</b>	<b>Cabinet: 10/12/21 Audit &amp; Governance Committee: 08/02/21</b>

**Audit & Governance Committee  
8 February 2021  
Strategic Risk Register**

**1 Purpose of Report**

- 1.1 To set out details of the Council's Strategic Risk Register as at 31 October 2020.

**2 Recommendation(s)**

- 2.1 That the Committee notes the draft 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:

<b>Risk Status</b>	<b>Number of Risks at 31 May 2020</b>	<b>Number of Risks at 31 October 2020</b>
Red (High)	<b>4</b>	<b>4</b>
Amber (Medium)	<b>3</b>	<b>3</b>
Green (Low)	<b>0</b>	<b>0</b>
<b>TOTAL</b>	<b>7</b>	<b>7</b>

**Reasons for Recommendations**

- 3.2 It is important risks are reviewed regularly and progress in delivering actions to reduce the risks are monitored.

## 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 A fundamental review of the strategic risks/opportunities facing the Council was undertaken in May to take account of the impact that the pandemic and the lockdown arrangements. The risk register has been monitored at intervals and actions progressed to manage the risk. The risk register has been updated as at 31 October 2020 and a summary is attached as **Appendix 1**.
- 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)

- 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.

5.6 Despite action having been taken to manage the risks there has been no change to the risk status. This is mainly due to the ongoing pandemic and many of the risks are outside the control of the Council.

5.7 Although there haven't been any changes to the risk status, one risk score has increased. Risk C4 which relates to the Council's key contractors remaining sustainable and continuing to provide value for money has increased from 15 to 20. The likelihood score has been increased to reflect the potential effect that the 2<sup>nd</sup> lockdown could have on the financial viability of IHL.

5.8 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 – 31 October 2020

Appendix 2 – Strategic Risk Register – 31 October 2020

## Cannock Chase Council

## Summary of Strategic Risks as at 31 October 2020

Risk No	Potential Risks	Risk Owner	Date Added to Register	Residual Risk Score at July 2020	Residual Risk Score at October 2020	Direction of Travel over period reported
<b>Red Risks</b>						
C1	The Council's financial stability is adversely affected in the short and medium term (Re-worded – previously risk ref. 18)	Head of Finance	May 2020	<b>20</b> <b>Red</b>	<b>20</b> <b>Red</b>	↔
C2	The economy of the District is adversely impacted (Re-worded – previously risk ref. 25)	Head of Economic Prosperity	May 2020	<b>20</b> <b>Red</b>	<b>20</b> <b>Red</b>	↔
C4	The Council's key contractors remain sustainable and continue to provide value for money (New Risk)	Head of Environment & Healthy Lifestyles	May 2020	<b>20</b> <b>Red</b>	<b>20</b> <b>Red</b>	↑
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 (Re-worded – previously risk ref. 19)	Managing Director	May 2020	<b>20</b> <b>Red</b>	<b>20</b> <b>Red</b>	↔
<b>Amber Risks</b>						
C7	Failure to put in place safe working practices and social distancing measures to protect employees and the public (New Risk)	Head of Governance & Corporate Services	May 2020	<b>10</b> <b>Amber</b>	<b>10</b> <b>Amber</b>	↔
C3	Failure to work in partnership to sustain support to vulnerable residents post Covid-19 (New Risk)	Head of Housing & Partnerships	May 2020	<b>9</b> <b>Amber</b>	<b>10</b> <b>Amber</b>	↔

Item No. 5.6

Risk No	Potential Risks	Risk Owner	Date Added to Register	Residual Risk Score at July 2020	Residual Risk Score at October 2020	Direction of Travel over period reported
C6	<p>Failure to repel or recover from a Cyber-attack including targeted ransomware, malware, and Distributed Denial of Service (DDoS) attacks.</p> <p>The move to home working has increased the vulnerability to malware issues.</p> <p>Re-worded – previously risk ref. 23)</p>	Head of Technology	May 2020	<b>10 Amber</b>	<b>10 Amber</b>	↔

Key to Direction of Travel

↓	Risk has decreased	↔	Risk level unchanged	↑	Risk has increased
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**Cannock Chase District Council – Strategic Risk Register as at 31 October 2020**

Ref No: C1 Risk: <b>The Council's financial stability is adversely affected in the short and medium term</b>			
Risk Owner: Head of Finance		Portfolio: The Leader	
Consequences of Risk: <ul style="list-style-type: none"> <li>• Unable to provide desired levels of service</li> <li>• Town Centre redevelopment proposals are impacted</li> <li>• Council size becomes too small to sustain a viable organisation</li> </ul>			
Links to Priorities: <ul style="list-style-type: none"> <li>• Supporting Recovery – Financial work stream</li> <li>• Corporate PDP - Making the best use of limited resources – managing our people, money, and assets</li> </ul>			
Gross Risk Score (i.e. without controls)	Likelihood: 4	Impact: 5	Total Score: <b>20 – Red</b>
Residual/Net Risk Score (i.e. with controls)	Likelihood: 4	Impact: 3	Total Score: <b>20 – Red</b>
Controls in Place <ul style="list-style-type: none"> <li>• Medium term financial plan in place</li> <li>• Annual Financial Plan and Medium-Term Financial Strategy to 2022/23 in place</li> <li>• The Revenue Budget for 2020/21 and indicative budgets for 2021/22 are effectively balanced with a deficit of £584,000 for 2022/23.</li> <li>• Working Balances maintained</li> <li>• Comprehensive Service Review being undertaken to re-align resources to Corporate Plan</li> <li>• Corporate Budget Monitoring</li> <li>• Evaluation of consultations on changes to government funding regimes</li> </ul>			

Actions Planned	Timescale / Person Responsible	Progress/Comments
Determine a Financial Recovery Strategy <ul style="list-style-type: none"> <li>• Establish Recovery work stream</li> <li>• Agree Terms of Reference</li> <li>• Determine work programme</li> </ul>	Managing Director / Head of Finance	Terms of Reference and Work Programme Agreed
Monitor Financial Impact of COVID-19	Head of Finance	Monthly monitoring in place
Implement Interim Financial strategy	Head of Finance	Interim Financial Strategy considered by Recovery Overview Board and Cabinet
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
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	Financial Plan approved by Cabinet 12 <sup>th</sup> November 2020
Lobby MHCLG via MP/DCN and LGA re financial impact of COVID 19 on SBC	Managing Director / Head of Finance	Ongoing contact with MPs, 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 S& SoT Business Rate Pool Members re options to maintain viable pool for 2021/2022 Prepare options report to Leaders and Chief executives	Head of Finance	Application to Pool submitted to MHCLG on the 23 October 2020. Member authorities will make a formal decision on retention of the pool following determination of the Reset position as part of the Provisional Local Government Settlement announcement 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		

**Overall Progress Summary:**

Impact of COVID-19 on CCDC for 2020-21 is estimated to be £2.9 million. Government support consists of un-ring-fenced grant of £1.586 million and an income guarantee scheme of a potential £0.541 million. Including new burdens funding a deficit of £0.645 million is likely.

The ongoing impact on income streams, and particularly IHLs recovery plan, will be the key factors in both the interim and Medium-Term Financial Recovery strategies.

Medium Term impact cannot be determined at this stage, with details of fundamental changes to Government Funding notably the implementation of 75% Business Rates Retention and Fair Funding and Business Rates Reset having been postponed to 2022/23

The key funding issues for 2021-22 relate to how business rates growth generated to date will be treated (whether the Business Rates Reset will be implemented in advance of 2022-23) and similarly what plans exist in relation to the reforms to New Homes bonus. Clarification on both these issues is still awaited.

Ref No: C2 Risk: <b>The economy of the District is adversely impacted</b>			
Risk Owner: Head of Economic Prosperity		Portfolio: Economic Development & Planning	
Consequences of Risk: <ul style="list-style-type: none"> <li>• Increase in numbers of resident unemployed and economically inactive</li> <li>• Business failures and associated job losses</li> <li>• Reduced growth and prosperity for local residents</li> <li>• Decline of town centres / impact on major redevelopment proposals</li> <li>• NNDR / Council Tax Income does not grow</li> </ul>			
Links To Priorities: <ul style="list-style-type: none"> <li>• Supporting Recovery – Economic work stream</li> <li>• Promoting Prosperity</li> </ul>			
Gross Risk Score (i.e. without controls)	Likelihood: 4	Impact: 5	Total Score: <b>20 – Red</b>
Residual/Net Risk Score (i.e. with controls)	Likelihood: 4	Impact: 5	Total Score: <b>20 – Red</b>
Controls in Place <ul style="list-style-type: none"> <li>• Economic Prosperity Strategy</li> <li>• Economic Recovery Plan</li> <li>• Cannock Town Centre Development Prospectus</li> <li>• The Local Plan Review to identify future development opportunities</li> <li>• Proactive work with GBSLEP/SSLEP/West Midlands Combined Authority</li> <li>• Business Relationships work/promoting the District via the Economic Development function</li> </ul>			

Actions Planned	Timescale/ Person Responsible	Progress/Comments
<p>Business support</p> <ul style="list-style-type: none"> <li>Local implementation of national support measures: business rates holidays, Retail &amp; Hospitality Grants, Small Business Grants, Discretionary Grants.</li> <li>Encourage new inward investment and local business growth working in partnership with LEPs, Growth Hubs and County Council.</li> </ul>	<p>Head of Finance / Head of Economic Prosperity</p> <p>Head of Economic Prosperity</p>	<p>Significant progress has been made in distributing business support grants. Over 1,700 businesses have been paid grant with over £20m of funding allocated. Unused monies to be returned to MHCLG.</p> <p>Discretionary Fund closed at the end of August 2020. Chancellor announced on 5<sup>th</sup> November an additional package of financial support for businesses including extension of Coronavirus Job Retention Scheme (Furlough) and further business support grants to assist businesses directly affected by the pandemic and lockdown restrictions. Council will again be responsible for administration and distribution of these funds.</p> <p>Cabinet approved in September 2020 an application for Discretionary Business Rate Relief to support expansion of local company Super Smart Services Ltd – potentially creating c325 new jobs.</p>
Produce an Economic Recovery Plan	Head of Economic Prosperity	Terms of reference for Economic Recovery work stream has been agreed by the Recovery Overview Board.
Refresh the Economic Prosperity Strategy to take account of changing economic environment	Head of Economic Prosperity	<p>Impact of economic recession is currently being monitored by the Economic Recovery subgroup.</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 for completion has been put back until early 2021 due to 2<sup>nd</sup> wave of COVID-19 and increasing economic uncertainty.</p>

Actions Planned	Timescale/ Person Responsible	Progress/Comments
Revisit regeneration proposals for Cannock Town Centre in light of change to economic climate and reduced investor/developer confidence.	Head of Economic Prosperity	Officers are currently progressing technical work to examine feasibility of demolition of MSCP. Business case to be prepared and presented to Cabinet by spring 2021. 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	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. GBSLEP is supporting the District with a number of new initiatives including the £2m Pivot and Prosper Grant fund and ‘Click and Drop’ scheme targeted at independent retailers in Cannock, Hednesford and Rugeley town centres 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.
Revised Local Plan to be produced and delivered	Head of Economic Prosperity	Local Plan Review underway, however due to COVID-19 work has been delayed. Revised Local Development Scheme is being prepared and will be presented to Cabinet in January 2021. Officers are reviewing the potential impact of the Planning White Paper.

#### Overall Progress Summary:

The District’s economy is being severely impacted by the COVID-19 pandemic and lockdown and there is continued economic uncertainty due to the ongoing threat of COVID-19 and second national lockdown. The District’s unemployment rate has increased significantly since March 2020 and in the short-medium term is not expected to increase significantly due to the Government’s decision to extend the Furlough scheme until March 2021. The Council will need 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 McArthurGlen Designer Outlet and Rugeley Power Station continue to be absolutely critical in supporting the prosperity and growth of the District.

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

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"> <li>• Lessons learnt</li> <li>• How the level of support can be sustained going forward</li> <li>• Planning for the future and development of an action plan</li> </ul>	Head of Housing & Partnerships	<p>Lessons Learnt Report Completed</p> <p>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>	Head of Housing & Partnerships	<p>Human Kind Charity – Drug &amp; Alcohol Support - Commissioned by SCC</p> <p>Exploring options to fund a Specialist Mental Health Worker (Housing Options Funding)</p>
<p>Supporting Vulnerable Residents – Follow up telephone calls</p>	<p>Head of Housing &amp; Partnerships – May to June 2020</p>	<p>400+ calls completed (28.05.2020)</p> <p>3000+ calls completed</p> <p>Project complete</p>
<p>Housing 1<sup>st</sup> Project – Secure permanent accommodation for the Rough Sleepers</p>	Strategic Tenancy Services Manager	<p>2 Year Contract Awarded to Spring Housing – accommodation secured for 3 Rough Sleepers (01.06.2020)</p> <p>4 Rough Sleepers Rehoused</p> <p>Accommodation secured for a further 1 Rough Sleeper</p> <p>Housing First Project to be extended – Application for Next Steps Accommodation Programme Funding Bid Successful - £115k</p>

Actions Planned	Timescale/ Person Responsible	Progress/Comments
To maximise the benefit of any legacy from the increase in voluntary activity in the local community	Head of Housing & Partnerships	On-going meetings scheduled – work with Support Staffordshire on social prescribing Cabinet has approved funding for Support Staffordshire to engage with the Voluntary Sector – project starts 01.12.2020
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 and Healthy Lifestyles	On-going – family activity packs have been delivered to households Voluntary Groups – Summer Recess SPACE Project given go-ahead
Further Development of the MARAC	On-Going (PCSCCTV Manager) Staffordshire Police	The Community Safety Team (CST) continue preparatory work around the new weekly local MARAC - an area of business which will become key as the lockdown starts to ease and the level of hidden domestic abuse becomes more apparent On track for Weekly MARAC to commence in August 2020 Complete
Establishing a strong link with the Community Vulnerability Hub	On-Going (PCSCCTV Manager)	CST will be the point of contact for any officers making safe and well calls where they feel that there may be a safeguarding concern. The CST will do the necessary re safeguarding be it a referral to the Community Safety Hub or signposting to safeguarding services. The Community Vulnerability Hub was mothballed 17 <sup>th</sup> July 2020. Re-established on a smaller scale in November 2020 to assist Clinically Extremely Vulnerable People to register for assistance etc.

**Overall Progress Summary:**

First lockdown - the Community Vulnerability Hub was mobilised within days of the lockdown. Following the initial response stage and with the end of Shielding demand had considerably dwindled for this level of intensive support. A part time role within the Housing Department has been approved to manage the high level of complex cases that have emerged prior to and during lock-down. The Foodbanks have reported no increase in the demand for food and this may be due to the Governments funding of School Meals. Moving forward meetings with the voluntary sector have been scheduled bi-monthly with the agreement that should there be a spike or local lockdown the groups are willing to remobilise. Internally over 50 staff members have supported the hub.

Second Lockdown – Additional call handlers assigned to support the Clinically Extremely Vulnerable Residents (4,200+) to register for on-line food delivery slots and low-level support. The HOS has established links with Cannock and Hednesford Salvation Army and Rugeley Community Church working in conjunction with Support Staffs are seen to be the emerging “Anchor Organisations” within the District. The local list of Vulnerable Residents (incl. CEV) had been refreshed (7,000+ residents).

Ref No: C4 Risk: <b>The Council's key contractors remain sustainable and continue to provide value for money</b>			
Risk Owner: Head of Environment & Healthy Lifestyles		Portfolios: Culture & Sport and Environment & Climate Change	
Consequences of Risk: <ul style="list-style-type: none"> <li>• Potential for an individual contract failure resulting in a service not being delivered</li> <li>• Reputational damage and complaints</li> <li>• Financial loss</li> </ul>			
Links to Priorities: <ul style="list-style-type: none"> <li>• Supporting Recovery – Organisational work stream</li> </ul>			
Gross Risk Score (i.e. without controls)	Likelihood: 4	Impact: 5	Total Score: <b>20 – Red</b>
Residual/Net Risk Score (i.e. with controls)	Likelihood: 4	Impact: 5	Total Score: <b>20 – Red</b>
Controls in Place <ul style="list-style-type: none"> <li>• Regular contact with key personnel for each contractor</li> <li>• Contract management</li> <li>• Any key issues are discussed with Leadership Team and Members as appropriate</li> <li>• Discussions with other authorities who have the same or similar contracts</li> </ul>			

Actions Planned	Timescale / Person Responsible	Progress/Comments
Service delivery of key contracts is being monitored and managed	Head of Environment & Healthy Lifestyles  Waste & Engineering Services Manager  Ongoing during response and recovery as required	Regular contact is being maintained with contractors to resolve any issues
Financial assistance to be provided where appropriate to support key contractors	Head of Finance  Head of Environment & Healthy Lifestyles  Ongoing during response and recovery as required	Payments being made in advance to assist with cash flow and 20% top up agreed by Cabinet for furloughed staff up until the end of June 2020.  Discussions are ongoing between the Council and key IHL officers to identify full financial impact and develop sustainable recovery plans. The 2 <sup>nd</sup> lockdown is likely to have a significant impact on the financial viability of IHL. This has led to the review and increase of the risk score
Contact with other Councils, Local Government Association and Sport England	Heads of Service  Contracts and Procurement Manager  Ongoing during response and recovery as required	Contact is being maintained with other Councils that have the same type of contracts and or contractors to share information on issues and support provided  Interest logged on 10 <sup>th</sup> April with Sport England to receive any available support/consultancy to ensure that Council's, Leisure Trusts and Operators survive this period of uncertainty. Sport England have been contacted again on 10 <sup>th</sup> November 2020 with regard to possible support

Actions Planned	Timescale / Person Responsible	Progress/Comments
<p>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</p>	<p>Managing Director Head of Finance Ongoing during response and recovery as required</p>	<p>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<sup>th</sup> October 2020 and further contact made on 10<sup>th</sup> November 2020</p>
<p>Monitoring Government guidance on COVID-19 on services that can be delivered as lockdown is eased</p>	<p>Heads of Service Service Managers</p>	<p>Recovery plans being developed by Contractors in consultation with the Council to respond to further lifting of restrictions. Golf course re-opened 23 May 2020. Chase Leisure Centre (Dry side) re-opened 25<sup>th</sup> July 2020 and Swimming Pool 1<sup>st</sup> August 2020 Rugeley Leisure Centre (Dry side) re-opened 1<sup>st</sup> August 2020 AGP at Bradbury re-opened from 10<sup>th</sup> August 2020 Recovery progress has been hampered by 2<sup>nd</sup> Lockdown 5 Nov to 2<sup>nd</sup> December.</p>

**Overall Progress Summary:**

Regular contact is being maintained with the Council's key contractors. Recovery plans are being developed by Contractors, in consultation with the Council, to respond to further lifting of restrictions and re-instate services where possible. Management of this risk is largely outside the control of the Council as it is a national issue and depends on the Government's plans for easing lockdown and support to businesses. However, the Council is working with its contractors to support them during lockdown and in implementing their recovery plans.

Progress has been made with regard to the safe re-opening of some of the key leisure facilities. However, this recovery and the risk of future sustainability has been impacted by the 2<sup>nd</sup> lockdown, resulting in a reassessment and increase of the current risk score.

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.

Ref No: C5 Risk: <b>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</b>			
Risk Owner: Managing Director		Portfolio: The Leader	
Consequences of Risk: <ul style="list-style-type: none"> <li>• The Council's response during a declared Major Incident is not effective;</li> <li>• Services and projects are not delivered and this impacts on residents / the public;</li> <li>• The requirements of any new Covid19 related Government policies not implemented effectively;</li> <li>• Employees wellbeing affected, increase in absence due to stress</li> </ul>			
Links to Priorities: <ul style="list-style-type: none"> <li>• Supporting Recovery – economic, organisational, community work streams</li> <li>• All Council Priorities</li> </ul>			
Gross Risk Score (i.e. without controls)	Likelihood: 4	Impact: 5	Total Score: <b>20 – Red</b>
Residual/Net Risk Score (i.e. with controls)	Likelihood: 3	Impact: 5	Total Score: <b>15 – Red</b>
Controls in Place <ul style="list-style-type: none"> <li>• Regular assessment of implications of Government / MHCLG Covid19 related policy announcements as set out in Coronavirus Bulletins and Ministerial Letters for action.</li> <li>• Additional funding secured for Covid19 related policies e.g. Test and Trace, resettling rough sleepers etc.</li> <li>• Suspension of lower priority activities, meetings, and projects.</li> <li>• 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.</li> <li>• Regular monitoring of priorities</li> <li>• Provision of support to employees especially as majority remain working remotely.</li> </ul>			

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 daily activity at the current time due to the volume of Government policy announcements.
Review of existing priorities and PDP's in light of Recovery Planning work	Leadership Team / Cabinet	The PDP's for 2020/21 have been reviewed and revised PDPs approved by Council. A review of Corporate Priorities is being undertaken as part of the development of a new corporate plan. Engagement is currently in progress on a new set of priorities
Review of essential services and operational work plans to re-prioritise work	Heads of Service	Ongoing. Reviewed as part of move back into lockdown
Where necessary, considering whether resources from other parts of the Council can be transferred for a period.	Leadership Team	Ongoing operational decisions
Management review	Managing Director	A review of management is planned for 2020/21

**Overall Progress Summary:**

Although restrictions were eased over the summer this brought fresh challenges for capacity with staff being encouraged to take leave and have a rest at the same time as the Council was trying to restore its own service delivery and support local businesses with re-opening. As we move into the autumn with COVID cases increasing and new restrictions introduced, the Council is now back into response but is also trying to balance this with maintaining work on recovery wherever possible

Work from the response and recovery phases is having an ongoing impact on officer capacity and continues to place considerable and continuing pressure on key service areas. Officer capacity continues to be reviewed and work prioritised.

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: Corporate Improvement

#### Consequences of Risk:

- 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:

- Supporting Recovery – Organisational work stream

Gross Risk Score (i.e. without controls)	Likelihood: 4	Impact: 5	Total Score: <b>20 – Red</b>
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Residual/Net Risk Score (i.e. with controls)	Likelihood: 3	Impact: 3	Total Score: <b>9 – Amber</b>
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#### Controls in Place

- 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 2019. Follow-up check is planned for September 2020.
Application Security Assessment and Remediation action taken	Annually Head of Technology	The health check will produce an action plan to feed into this.
Limit the access to critical systems and data by non-corporate devices.	January 2021 Head of Technology	During 2020 we have been able to increase the number of corporate laptops that access the internal systems.
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	Most of the email mailboxes are now held in the cloud. Data files will also be moved during 2021/22

**Overall Progress Summary:**

Work has been completed and 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: <b>Failure to put in place safe working practices and social distancing measures to protect employees and the public</b>			
Risk Owner: Head of Governance & Corporate Services		Portfolio: Corporate Improvement and Town Centre Regeneration	
Consequences of Risk: <ul style="list-style-type: none"> <li>• Failure to meet health and safety standards could lead to prosecution.</li> <li>• Unable to restore some services.</li> <li>• Risk of infection to employees, partners/contractors in the workplace and the public</li> <li>• Employees refuse to return to work</li> </ul>			
Links to Priorities: <ul style="list-style-type: none"> <li>• Supporting Recovery – Organisational work stream</li> </ul>			
Gross Risk Score (i.e. without controls)	Likelihood: 4	Impact: 5	Total Score: <b>20 – Red</b>
Residual/Net Risk Score (i.e. with controls)	Likelihood: 2	Impact: 5	Total Score: <b>10 – Amber</b>
Controls in Place <ul style="list-style-type: none"> <li>• Health &amp; Safety Policies and Practices both existing and revised</li> <li>• Health &amp; Safety controls (including risk assessment) in place in line with Government Guidance and best practice</li> <li>• Health &amp; Safety Advice provided</li> <li>• Provision of Occupational Health advice as required</li> <li>• Promotion of wellbeing, signposting to information, mental health champions</li> </ul>			

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	Head of Governance & Corporate Services	Process established and guidance issued to managers to support initial return to the workplace.
Workplace risk assessments to be completed in line with HSE and Government Guidelines and action plans developed	Corporate Asset Manager	Workplace risk assessments have been completed for all key Council sites
Role based risk assessments to be completed in line with HSE and Government Guidelines, employee guidance prepared, and employees briefed before returning to work	Service Managers	Guidance has been issued to managers and role-based risk assessments are being 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 in accordance with changes made regarding local and national restrictions
Consult with trade unions and employees as required to ensure a joined-up approach is agreed and accepted	Head of Governance & Corporate Services and HR Manager	Process has been established and is working well
Risk assessments to be published on website	Chief Internal Auditor & Risk Manager	Risk assessments are being published on the Council's website
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 Recovery work. HR have put in place a range of support for employees and managers to aid mental health and wellbeing.

**Overall Progress Summary:**

Risk assessments were prepared at the outset of the first lockdown and continue to be reviewed and updated to reflect the latest Government Guidance. Workplace risk assessments have been completed for all key sites. A number of role-based risk assessments were completed to allow employees to return to work safely following the easing of the first lockdown. A process is in place for all risk assessments to be agreed with the Health & Safety Officer and consultation undertaken with Trade Union reps. Guidance on PPE has been issued and reflected in risk assessments; this is kept under review and updated in line with any changes in Government guidance.

Whilst much work has been done to comply with COVID secure guidance and ensure the safety of employees and the public, due to the nature of the pandemic and the recent increase in cases, it is not considered prudent at this time to reduce the risk score.