

Report of:	Head of Governance & Corporate Services
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Key Decision:	No
Report Track:	Audit & Gov Cttee: 29/06/20 Cabinet: 16/07/20

CABINET
16 JULY 2020
STRATEGIC RISK REGISTER

1 Purpose of Report

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

2 Recommendations

- 2.1 That Cabinet approves the strategic risk register and considers the progress made in the identification and management of the strategic risks.

3 Key Issues and Reasons for Recommendation

- 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 Colour	Number of Risks at 30 September 2019	Number of Risks at 31 May 2020
Red	1	4
Amber	4	3
Green	0	0
TOTAL	5	7

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 has been undertaken to take account of the impact that the pandemic and the lockdown arrangements are having. The risks have been scored and action plans put in place to ensure that they are managed effectively. A summary of the Council's strategic risk register as at 31 May 2020 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)

5.6 The number of strategic risks has increased from 5 to 7 and the key changes are summarised below:

- One risk has been deleted (risk 16) as the impact of the reform of Benefit payments has now stabilised;
- Three new risks related to the impact of the pandemic have been added;
- Four risks have been re-framed to reflect the effects of the pandemic.

5.7 The number of risks which have been scored as high (Red) has increased from one to four as a result of the pandemic and the lockdown arrangements:

- The Council's financial stability is adversely affected in the short and medium term (previously red risk);
- The economy of the District is adversely impacted;
- The Council's key contractors remain sustainable and continue to provide value for money; and
- The Council doesn't have sufficient officer capacity or financial resources to sustain delivery of essential services, key projects and support work on recovery.

5.8 The detailed actions 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 **Section 17 (Crime Prevention)**

None

6.5 **Human Rights Act**

None

6.6 **Data Protection**

None

6.7 **Risk Management**

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

6.8 **Equality & Diversity**

None

6.9 **Best Value**

None

7 Appendices to the Report

Appendix 1 – Summary of Strategic Risks – 31 May 2020

Appendix 2 – Strategic Risk Register – 31 May 2020

Previous Consideration

None

Background Papers

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

Cannock Chase CouncilSummary of Strategic Risk Register as at May 2020

Risk No	Potential Risks	Risk Owner	Date Added to Register	Residual Risk Score at Sept 2019	Residual Risk Score at May 2020	Direction of Travel over period reported
RED RISKS						
C1	The Council's financial stability is adversely affected in the short and medium term (Re-worded – previously risk reference 18)	Head of Finance	May 2020	12 RED	20 RED	↑
C2	The economy of the District is adversely impacted (Re-worded – previously risk reference 25)	Head of Economic Prosperity	May 2020	9 AMBER	20 RED	↑
C4	The Council's key contractors remain sustainable and continue to provide value for money (New Risk)	Head of Environment & Healthy Lifestyles	May 2020	N/A	15 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 (Re-worded – previously risk reference 19)	Managing Director	May 2020	9 AMBER	15 RED	↑
AMBER RISKS						
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	N/A	10 AMBER	
C3	Failure to work in partnership to sustain support to vulnerable residents post Covid-19 (New Risk)	Head of Housing & Partnerships	May 2020	N/A	9 AMBER	

Risk No	Potential Risks	Risk Owner	Date Added to Register	Residual Risk Score at Sept 2019	Residual Risk Score at May 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 reference 23)</p>	Head of Technology	May 2020	9 AMBER	9 AMBER	↔

DELETED RISKS

Risk No	Potential Risks	Risk Owner	Date Added to Register	Score at Sept 2019	Score at May 2020	Direction of Travel over period reported
16	Impact of Welfare Benefit Reform	Heads of Finance and Housing & Partnerships	April 2013	9 AMBER	2 GREEN	↓

Key to Direction of Travel



Risk has decreased



Risk level unchanged



Risk has increased

Cannock Chase District Council – Strategic Risk Register as at 31 May 2020

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"> • Supporting Recovery – Financial work stream • Corporate PDP - Making the best use of limited resources – managing our people, money and assets 			
Gross Risk Score (ie without controls)	Likelihood: 4	Impact: 5	Total Score: 20 – RED
Residual/Net Risk Score (ie with controls)	Likelihood: 4	Impact: 3	Total Score: 20 – 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 2022/23 in place • The Revenue Budget for 2020/21 and indicative budgets for 2021/22 are effectively balanced with a deficit of £584,000 for 2022/23. • 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
<p>Determine a Financial Recovery Strategy</p> <ul style="list-style-type: none"> • Establish Recovery work stream • Agree Terms of Reference • Determine work programme 	<p>Managing Director/ Head of Finance</p>	<p>Terms of Reference drafted</p>

Actions Planned	Timescale/ Person Responsible	Progress/Comments
Monitor Financial Impact of COVID-19	Head of Finance	
Implement Interim Financial strategy	Head of Finance	
Update Financial Plan in relation to the deferment of 75% Business Rates Retention and Fair Funding by a year	Head of Finance	
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	
Lobby MHCLG via MP/DCN and LGA re financial impact of COVID 19 on SBC	Managing Director/ 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 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	
Determine impact of Government proposals for key funding regime changes for 2022/23	Head of Finance	
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 £2.7 million with Government support to date only amounting to £1.1 million.

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

Details of whether Business Rates Reset will now take place and reforms to New Homes bonus are still awaited.

Ref No: C2	Risk: The economy of the District is adversely impacted		
Risk Owner: Head of Economic Prosperity		Portfolio: Economic Development & Planning	
<p>Consequences Of Risk:</p> <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 			
<p>Links To Priorities:</p> <ul style="list-style-type: none"> • Supporting Recovery – Economic work stream • Promoting Prosperity 			
Gross Risk Score (ie without controls)	Likelihood: 4	Impact: 5	Total Score: 20 - RED
Residual/Net Risk Score (ie with controls)	Likelihood: 4	Impact: 5	Total Score: 20 - RED
<p>Controls in Place</p> <ul style="list-style-type: none"> • Economic Prosperity Strategy • Economic Recovery Plan • Cannock Town Centre Development Prospectus • The Local Plan Review to identify future development opportunities • Proactive work with GBSLEP/West Midlands Combined Authority • Business Relationships work/promoting the District via the Economic Development function 			

Actions Planned	Timescale/ Person Responsible	Progress/Comments
Local implementation of national support measures: business rates holidays, Retail & Hospitality Grants, Small Business Grants, Discretionary Grants.	Head of Finance / Head of Economic Prosperity	Significant progress made in distributing business support grants with 90% of funding distributed to local businesses. Discretionary Fund to be launched June 2020.
Produce an Economic Recovery Plan	Head of Economic Prosperity	Terms of reference for Economic Recovery work stream drafted
Refresh the Economic Prosperity Strategy to take account of changing economic environment	Head of Economic Prosperity	
Revisit regeneration proposals for Cannock Town Centre in light of change to economic climate and reduced investor/developer confidence.	Head of Economic Prosperity	Forms part of the Economic Recovery work stream.
Pro-actively work with WMCA, GBSLEP 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 Combined Authority and both organisations are leading on the region's response to economic recovery.
Revised Local Plan to be produced and delivered	Head of Economic Prosperity	Local Plan Review underway; the preferred option stage of the plan is due to go out to consultation later in 2020 but may be delayed due to COVID-19.

Overall Progress Summary:

The District's economy is highly likely to be severely impacted by the COVID-19 pandemic and lockdown and this will lead to a reduction in investment, closure of businesses and an increase in unemployment. The Council will need to develop an economic recovery plan to set out how the Council can support the economy, 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: Failure to work in partnership to sustain support to vulnerable residents post Covid-19		
Risk Owner: Head of Housing & Partnerships	Portfolio: Crime and 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; cyber crime; 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 Recovery – Community work stream • Improving Community Wellbeing 			
Gross Risk Score (ie without controls)	Likelihood: 4	Impact: 5	Total Score: 20 – RED
Residual/Net Risk Score (ie 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 			

Actions Planned	Timescale/ Person Responsible	Progress/Comments
Group being set up to support the Community Recovery work stream – this will look at: <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 	Head of Housing & Partnerships	
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	Head of Housing & Partnerships	
Supporting Vulnerable Residents – Follow up telephone calls	Head of Housing & Partnerships – May to June 2020	400+ calls completed (28.05.2020)
Housing 1 st Project – Secure permanent accommodation for the Rough Sleepers	Strategic Tenancy Services Manager	2 Year Contract Awarded to Spring Housing – accommodation secured for 3 Rough Sleepers (01.06.2020)
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
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	On-going – family activity packs have been delivered to households
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

<p>Establishing a strong link with the Community Vulnerability Hub</p>	<p>On-Going (PCSCCTV Manager)</p>	<p>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.</p>
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Overall Progress Summary:

The Community Vulnerability Hub was established within days of the lockdown. Through Support Staffordshire links with the voluntary sector have been strengthened and residents have been supported with emergency food parcels. 11 Rough Sleepers have been rehoused in hotel accommodation during the pandemic and on-going support is in place to support the Rough Sleepers into permanent accommodation. The Council have sent 4,800 letters to vulnerable residents and this is being followed up with telephone calls to residents who have not made contact.

Throughout the transition period, Community Safety Hub (CSH) attendance has remained strong, with all key stakeholders (Police, Fire and Rescue, Adult Social Care etc.) dialling in. Recent weeks have also seen several other partners embracing the change, thus bringing attendance in line with pre-'lockdown' levels.

ITEM NO. 6.

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: Culture & Sport and Environment		
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"> • Supporting Recovery – Organisational work stream 			
Gross Risk Score (ie without controls)	Likelihood: 4	Impact: 5	Total Score: 20 – RED
Residual/Net Risk Score (ie with controls)	Likelihood: 3	Impact: 5	Total Score: 15 – RED
Controls in Place <ul style="list-style-type: none"> • Regular contact with key personnel for each contractor • 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 			

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 Waste & Engineering Services Manager	Regular contact is being maintained with contractors to resolve any issues

Actions Planned	Timescale / Person Responsible	Progress/Comments
Financial assistance to be provided where appropriate to support key contractors	Ongoing during response and recovery as required / Head of Finance Head of Environment & Healthy Lifestyles	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.
Contact with other Councils, Local Government Association and Sport England	Ongoing during response and recovery as required / Heads of Service Contracts and Procurement Manager	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 th April with Sport England to receive any available support/consultancy to ensure that Council's, Leisure Trusts and Operators survive this period of uncertainty.
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 / Managing Director Head of Finance	Information provided regarding the financial impact of COVID-19 on contracted services
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	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.

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.

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: Managing Director		Portfolio: The Leader	
<p>Consequences Of Risk:</p> <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 			
<p>Links To Priorities:</p> <ul style="list-style-type: none"> • Supporting Recovery – economic, organisational, community work streams • All Council Priorities 			
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: 5	Total Score: 15 - RED
<p>Controls in Place</p> <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 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	This is in progress and will be reported to Recovery Overview Board and Cabinet
Review of essential services and operational work plans to re-prioritise work	Heads of Service	Ongoing
Where necessary, considering whether resources from other parts of the Council can be transferred for a period.	Leadership Team	Ongoing operational decisions

Overall Progress Summary:

The Council continues to respond to a declared Major Incident from March 2020 and this has had an immediate and direct impact on officer capacity as has the impact of Coronavirus on the workforce re remote working / self- isolating / cancellation of annual leave etc. It has placed considerable and continuing pressure on key service areas

Officer capacity has had to be prioritised to deliver an effective response to the Covid19 pandemic and this has meant the delivery of new programmes of work in compressed time periods e.g. business grant payments, supporting NHS Shielding / vulnerable people in the community with the voluntary sector, securing PPE, Test and Trace programme etc.

Work is in progress to review essential services to assess resilience over the next few months. Work has commenced on reviewing the Priority Delivery Plans for 2020/21 alongside the development of Covid19 Recovery work stream plans. At the current time, not all of the Council's PDP priorities can be taken forward due to the various and uncertain impacts of Covid19.

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		
<p>Consequences Of Risk:</p> <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 			
<p>Links To Priorities:</p> <ul style="list-style-type: none"> • Supporting Recovery – Organisational work stream 			
Gross Risk Score (ie without controls)	Likelihood: 4	Impact: 5	Total Score: 20 - RED
Residual/Net Risk Score (ie with controls)	Likelihood: 3	Impact: 3	Total Score: 9 - AMBER
<p>Controls in Place</p> <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 2019. Follow-up check is planned for August 2020.
Application Security Assessment and Remediation action taken	Annually / Head of Technology	The healthcheck 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: Failure to put in place safe working practices and social distancing measures to protect employees and the public		
Risk Owner: Head of Governance & Corporate Services		Portfolio: Corporate Improvement and Town Centre Regeneration	
<p>Consequences Of Risk:</p> <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 			
<p>Links To Priorities:</p> <ul style="list-style-type: none"> • Supporting Recovery – Organisational work stream 			
Gross Risk Score (ie without controls)	Likelihood: 4	Impact: 5	Total Score: 20 – RED
Residual/Net Risk Score (ie with controls)	Likelihood: 2	Impact: 5	Total Score: 10 – AMBER
<p>Controls in Place</p> <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	Head of Governance & Corporate Services	Sub-Groups set up and initial meeting held.
Workplace risk assessments to be completed in line with HSE and Government Guidelines and action plans developed	Corporate Asset Manager	Workplace risk assessments are being prepared

Actions Planned	Timescale/ Person Responsible	Progress/Comments
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	Risk assessments and guidance being prepared
Continue to monitor and review guidance issued by Government and communicate to managers as required	Chief Internal Auditor & Risk Manager	
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	
Risk assessments to be published on website		
Review content of Health & Well-being Strategy to take account of impact of COVID-19 on the workforce	HR Manager	

Overall Progress Summary:

Risk assessments were prepared at the outset of lockdown and are being updated to reflect the latest Government Guidance. Work commenced on workplace risk assessments. Initial meeting held with Trade Union reps. Guidance on PPE has been issued and reflected in risk assessments – to be reviewed and updated.