

## Corporate Risk Register - Strategic Risks Summary Report

Report Author: Stephen James  
Generated on: 09 March 2023



Risk Status	
	Alert
	High Risk
	Warning
	OK
	Unknown

Internal Control Status	
Good	All controls are in place and working effectively
In Progress	Controls in place yet to be fully effective or additional controls yet to be implemented.
Poor	No controls or controls inadequate/ineffective


### Control Pending

Status	Risk No.	Risk Area	SLT Lead	Original Score	Previous Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 147	Southern Gateway Regeneration (CONFIDENTIAL)	Jane Hotchkiss	9	12	<b>12</b>	4	31-Mar-2024	In progress
	CRR 148	Local Plan	Andrew Frost	9	12	<b>4</b>	3	31-Mar-2024	Good
	CRR 188	Climate Emergency Detailed Action Plan	Andrew Frost	8	8	<b>8</b>	2	31-Mar-2024	In progress
	CRR 189	Crouchlands Lagoon 3 (CONFIDENTIAL)	Andrew Frost	6	6	<b>6</b>	1	31-Mar-2024	Good

### Controlled

Status	Risk No.	Risk Area	SLT Lead	Original Score	Previous Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 01	Financial Resilience	John Ward	9	12	<b>12</b>	3	31-Mar-2027	Good
	CRR 08	Skills / Capability / Capacity	John Ward	3	6	<b>6</b>	2	31-Mar-2024	Good
	CRR 09	Business Continuity	Andrew Frost	9	6	<b>6</b>	4	31-Mar-2024	Good
	CRR 68	Health and Safety	Andrew Frost	9	4	<b>4</b>	4	31-Mar-2024	Good
	CRR 97	Cyber Risk Attack Across ICT Estate (CONFIDENTIAL)	John Ward	6	6	<b>6</b>	4	31-Mar-2024	Good

## Appendix 1(a)

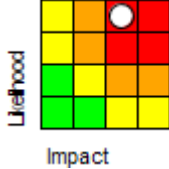
Status	Risk No.	Risk Area	SLT Lead	Original Score	Previous Review Score	Current Score	Target Score	Target Date	Internal Controls
	CRR 185	Housing - Potential Increase in Homelessness Service Demand due to Increased Cost of Living and Ukraine Sponsorship programme Impact	Louise Rudziak	9	9	<b>9</b>	4	31-Mar-2024	Good

Corporate Risk Register - Strategic Risks Detail

Management Control Pending

CRR 148	Local Plan	Management	Control Pending	
		Corporate Links		
<p>Loss of control over development of new housing in the absence of an up-to-date local plan, the impact would be:</p> <ul style="list-style-type: none"> <li>• 5 year housing land supply (HLS) would continue to be assessed against a figure derived from the Government's standard methodology for assessing housing need the objectively assessed need (OAN) for housing rather than the housing requirement figure in the adopted Local Plan, making it harder to demonstrate a 5 year HLS.</li> <li>• Without a 5 year HLS the presumption in favour of sustainable development would apply, assessed against the policies in the National Planning Policy Framework (ref: para. 11).</li> <li>• Both 1. &amp; 2. would result in an extension to the period of time in which the Council had to rely upon the <i>Interim Position Statement for Housing Development</i> to guide the location and form of housing development with decisions being made through the planning application and appeal process, rather than in accordance with the development plan as it would be considered to be out of date.</li> <li>• The ability to plan and coordinate development with the provision of infrastructure would be reduced with an unplanned approach to the location of new development.</li> <li>• The potential for government intervention to take plan-making decisions out of the control of the Council.</li> <li>• Damage to the reputation of the Council for further delays in producing a Local Plan in line with its statutory duties as Local Planning Authority.</li> </ul> <p><b>SLT Risk Owner:</b> Andrew Frost  <b>Responsible Officer:</b> Tony Whitty</p>				
<b>Original and Target Risk Assessment</b>				
<b>Original Risk Date</b>	07-Mar-2018		<b>Target Risk Date</b>	31-Mar-2024
<b>Original Risk Score</b>	9	Likelihood Impact	<b>Target Risk Score</b>	3
				Likelihood Impact
<b>Current and Previous Risk Assessment</b>				
<b>Current Assessment &amp; Previous Assessment</b>	24-Feb-2023			4
		Likelihood Impact		


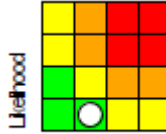


# Appendix 1 (a)

	08-Nov-2022		12
<b>Internal Controls</b>			<b>Current Status</b>
Agreed Timetable for Plan Production	<ol style="list-style-type: none"> <li>1. Revised statutory timetable for Plan production (the Local Development Scheme) agreed by Cabinet and Council in January 2023.</li> <li>2. Detailed project plan for evidence base and plan production prepared.</li> </ol>		Good
Sufficient Staff Resources to achieve timetable	<ol style="list-style-type: none"> <li>1. Use of agency staff to cover vacant posts where required</li> <li>2. Recruitment incentive payment and premia payments agreed to recruit and retain staff.</li> <li>3. Recruitment to Planning Policy Manager and Divisional Manager posts in 2022.</li> <li>4. Further recruitment efforts for Neighbourhood Planning Officer and Policy Officer posts underway</li> </ol>		In progress
Ensure evidence base provided to meet timetable	<ol style="list-style-type: none"> <li>1. Evidence base has now been predominantly completed, however updates will be required through to examination, as necessary.</li> </ol>		Good
Member agreement to contents of plan	<ol style="list-style-type: none"> <li>1. Provision of information, debate and discussion through Member briefings, Development Plan and Infrastructure Panel and formal democratic decision making process through Cabinet and Council. Briefings given by Planning Advisory Service on key Plan issues. Plan agreed for regulation 19 consultation and submission by Council on 24 January 2023.</li> </ol>		Good
Public Consultation	<ol style="list-style-type: none"> <li>1. Public consultation to ensure that the views of the community are taken into account in the plan-making process.</li> <li>2. Initial public consultation has taken place on issues and options.</li> <li>3. Public consultation on the Local Plan Review: Preferred Approach has been completed.</li> <li>4. Consultation on the Pre-submission Local Plan (regulation 19) commenced on 3 February 2023 and ends on 17 March 2023. This is the last formal consultation prior to submission of the Plan for examination.</li> <li>5. Some further consultation may be required through the examination process.</li> </ol>		Good
<b>Latest Position Statement</b>			
23 Feb 2023	<p>Agreement by Council on 24 January 2023 to publish the Pre-submission plan for consultation and then submit for examination. Consultation closes on 17 March 2023. Following this there will be a need to collate and consider and representations received. Any necessary changes would then be submitted alongside the Pre-submission plan as modifications. Submission is anticipated to be May/June 2023 with examination to follow late 2023. Following successful examination, adoption is likely to be mid 2024. Good progress has been made in filling key roles within the team. Temporary cover has been used to fill vacant posts that have been hard to recruit to previously, however further efforts are being made to recruit permanently to a vacant planning officer post and a senior neighbourhood planning officer post. As the LDS timetable has recently been updated the programme as set out in the LDS is on track. Although the Council is now much</p>		

**Appendix 1 (a)**

	<p>closer to submission of the Plan for examination, it will remain the position for at least a year that the Council will not have an up-to-date local plan. Additionally, the Council can currently only evidence a 4.7 year housing land supply. So whilst the Council is currently on track to meet the timetable set out in the latest LDS, there remain risks to development outside of the Council's control through application of the 'tilted balance'. Nonetheless, as the Council's new emerging plan progresses it will gain weight in the determination of applications and appeals. A current consultation on changes to the NPPF, including transitional arrangements for Councils to only have to demonstrate a 4 year housing land supply (for a period of 2 years) where plans are at an advanced stage of preparation, may have the effect of giving the Council greater control over the planning application decision making process, while the plan progresses through examination. Until the outcome of the consultation is known (likely by May 2023) the council cannot rely upon this in assessing the risk to uncontrolled development, however the provisions in the draft NPPF are likely to be delivered in some form, and the Council's progression of its Plan to regulation 19, increases the likelihood that it will benefit from any such interim position.</p> <p>It is therefore considered that the likelihood of a loss of control over development reduces to 2. With the continued use of the Interim Position Statement for Housing Development it is considered the impact is reduced to 2.</p>
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# Appendix 1 (a)

<b>CRR 188</b>	<b>Climate Emergency Detailed Action Plan</b>	<b>Management</b>	Control Pending
		<b>Corporate Links</b>	
<p>The Climate Emergency Declaration made by Council in January 2020 led to the Council approving detailed Climate Emergency Action Plan in January 2021 which includes achieving a 10% reduction year on year on both an internal carbon target and a district wide target. It must be noted that as the Councils internal emissions account for only 0.05% of the district emissions the cost benefit of all internal projects must be considered against completing priorities. The risk of failing to achieve the internal 10% carbon reduction increases if delivery of carbon saving projects identified in the action plan are postponed or delayed. The risk of failing to achieve the internal 10% carbon reduction increases if delivery of carbon saving projects identified in the action plan are delayed due to lack of funding or staff resource. The external target is not going to be achieved and is not within the Council’s remit. It is included as a call to arms, to add transparency to the Council’s Climate Emergency Declaration as to what is needed. A risk arises from on-going pressure by interested local groups and individuals who are closely monitoring the Council’s performance and who perceive the Council to be failing to deliver climate emergency actions not within the action plan or to deliver actions within the plan to a bigger scale or to a tighter timescale. A further risk arises from the Government not delivering manifesto pledges and delays in enacting legislation essential to support the climate emergency work. This risk has increased in recent months due to the economic situation in the country.</p>			
<p><b>SLT Risk Owner:</b> Andrew Frost/John Ward/Jane Hotchkiss  <b>Responsible Officer:</b> Alison Stevens/Kevin Carter/Sarah Peyman</p>			
<b>Original and Target Risk Assessment</b>			
<b>Original Risk Date</b>	08-Jun-2021		<b>Target Risk Date</b>
			
<b>Original Risk Score</b>	8		<b>Target Risk Score</b>
		Likelihood Impact	Likelihood Impact
<b>Current and Previous Risk Assessment</b>			
<b>Current Assessment &amp; Previous Assessment</b>	07-Feb-2023		8
	24-Oct-2022		8

## Appendix 1 (a)

<b>Internal Controls</b>		<b>Current Status</b>																
SMART Measures	<ol style="list-style-type: none"> <li>1. Project specific targets developed for each project. Monitoring progress against targets agreed.</li> <li>2. Monitoring progress against targets agreed.</li> </ol>	In progress																
Council Assets - Feasibility Studies & Internal Targets	<ol style="list-style-type: none"> <li>1. Council assets to be assessed by an external consultant to develop actions and targets to meet the Climate Action Plan objectives. These reports by Pope have been completed. None of the options are currently being progressed but will be considered through the Future Services Framework.</li> <li>2. Westgate Decarbonisation project. This is scheduled for completion at the end of February 2023.</li> <li>3. Investigation of a Power Purchase Agreement with a local to-be-built solar farm.</li> </ol>	In progress																
Fleet Review	<ol style="list-style-type: none"> <li>1. Review of Council fleet and fuel used.</li> <li>2. Evidence required from test acquisitions for alternative fuel usage e.g. electric vehicles etc. Two electric vehicles arrive for pilot use in the first quarter 2023.</li> </ol>	In progress																
External Targets	<ol style="list-style-type: none"> <li>1. Deliver a communication and engagement plan to encourage behaviour change.</li> <li>2. Delivery of DEFRA Trees Project. Tree-planting projects will only deliver very small reductions in the lifetime of the current targets, but will support subsequent targets and the national goal of net zero by 2050</li> <li>3. Delivery of Strategic Wildlife Project.</li> <li>4. Promote the uptake of grants to reduce greenhouse gas emissions from domestic and non-domestic buildings</li> <li>5. Support greater use of electric vehicles in the district.</li> <li>6. Support cycling, walking and use of public transport as an alternative to car travel.</li> <li>7. Illustrate the scale of the measures that would need to be undertaken to meet the targets including estimates of cost.</li> <li>8. New officer roles focussing on helping householders, businesses and not-for-profit organisations in the district to reduce their emissions.</li> </ol>	In progress																
<b>Latest Position Statement</b>																		
28 Feb 2023	<p>The Council approved the Climate Emergency Detailed Action Plan in January 2021. The progress of the plan is reported bi-annually to Environment Panel and annually to Full Council. The 2nd update to Full Council occurred on 31 January 2022.</p> <p>The action plan now contains 64 actions related to either the internal or the district wide target. The status of which is summarised below;</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="text-align: left;">Status</th> <th style="text-align: right;">Number of actions</th> </tr> </thead> <tbody> <tr> <td>On-going</td> <td style="text-align: right;">38</td> </tr> <tr> <td>Waiting for input from others</td> <td style="text-align: right;">6</td> </tr> <tr> <td>May not be initiated/completed on time</td> <td style="text-align: right;">0</td> </tr> <tr> <td>Not initiated/completed on time or not expected to be</td> <td style="text-align: right;">3</td> </tr> <tr> <td>Completed</td> <td style="text-align: right;">13</td> </tr> <tr> <td>Not due to be started yet</td> <td style="text-align: right;">4</td> </tr> <tr> <td><b>Total number of actions in plan</b></td> <td style="text-align: right;"><b>64</b></td> </tr> </tbody> </table>		Status	Number of actions	On-going	38	Waiting for input from others	6	May not be initiated/completed on time	0	Not initiated/completed on time or not expected to be	3	Completed	13	Not due to be started yet	4	<b>Total number of actions in plan</b>	<b>64</b>
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**District wide target**

There was an 8.7% reduction in emissions in the first year of the target which was calendar year 2020. This was likely due to the impact of Covid on road transport emissions and illustrates the scale of change to achieve the target. While emission figures for local areas for 2021 have not yet been published by central Government, the UK wide figures show emissions rose 4% in 2021 compared with 2020 as the economy began to recover from the Covid pandemic. It seems likely that our district will follow the same trend. The employment of additional staff will ramp up council activities to reduce emissions, but the district target will not be met without a transformative scale of action.

**Council internal target**

There were reductions of 12% and 4% in the first and second years respectively (Oct 2019-Sep 2020 and Oct 2020-Sep2021). Covid is likely to have been a key factor.

**Third year Oct 2021-Sep 2022:** Target likely to be missed significantly. There may even be an increase in emissions. Projects expected to complete and deliver saving in this period did not (ensure consistent operation of the Novium biomass boiler, Westgate leisure centre project, domestic refuse collection vehicles routes), although target would not have been met even if they had. Freeland Close which opened in this period will increase electricity demand.

**October 2022-September 2023:** We could achieve a 6% reduction due to energy efficiency work on Westward House, use of two electric refuse vehicles, completion of Westgate project. This may be reduced depending on how Freeland Close increases emissions, any post-Covid bounce back in emissions plus St James industrial estate will have re-opened in this period following its re-development. Again, this will impact emission figure even though the new site has been designed to have reduced emissions.

**October 2023-September 2024:** The target does not look likely to be met (a 3% reduction estimated) without additional emission reduction actions being started prior to this period.

**October 2024-September 2025:** The target may be met(a 9% reduction) if the council enters into a Power Purchase Agreement for electricity from a planned new solar farm in the district (this % reduction may be less depending on the amount of electricity the council puts into the PPA. The amount has financial implications). The target is likely to be missed (1% reduction) if that contract is not entered into.

**Mitigating actions**

Achieving a year-on-year reduction requires a continuous pipeline of projects which has not been established.

**Fleet**

The depot will require significant electrical infrastructure upgrades if the trial of electric refuse vehicles (eRCV) is successful. That needs to be prepared for in advance of the trial completing so as not to delay expansion of eRCV fleet and a reduction in the council’s biggest source of emissions -should the trial be successful. Rest of fleet: a policy is in place to replace diesel and petrol vehicles with electric. However, increased asset replacement budgets will need to be approved by councillors.



	<p><b>Buildings</b></p> <p>None of the options outlined in the Pope reports are being taken forward however they will be considered through the Future Services Framework. Installing PV on council buildings is a competing option to the Power Purchase Agreement. Other options yield small savings, concern buildings with a question-mark over their future (EPH, Novium) or have very long/non-existent paybacks. Further work modelling customer use would need to be done to judge the financial case for installing solar carports powering EV charge-points on CDC car parks.</p>
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**Management Controlled**

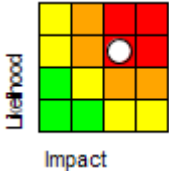
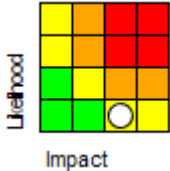
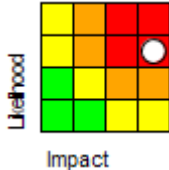
<b>CRR 01</b>	<b>Financial Resilience</b>	<b>Management</b>	Controlled
		<b>Corporate Links</b>	Corporate Plan Priority - Use Resources Effectively and Efficiently.

**Risk Description:**

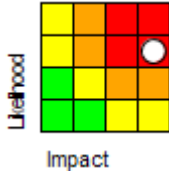
- Failure to maintain a robust and deliverable budget will lead to a lack of resources to fund services and council priorities, leading to reactionary decision making, and reputational consequences.
- Failure to maximise efficient use of resources and so unsuccessful redirection of resources and not achieving objectives and outcomes of the council including efficiency savings identified under the Future Services Framework (FSF).
- Failure to maximise income streams.
- Unpredictable Government policy (e.g. localisation of business rates.)
- COVID-19 (Coronavirus) unpredictable economic impact.

Cost of living crisis - unpredictable impact on service demand. Plus inflationary cost pressures on the council’s own costs.

**SLT Risk Owner:** John Ward  
**Responsible Officer:** Helen Belenger

<b>Original and Target Risk Assessment</b>					
<b>Original Risk Date</b>	31-Jul-2012		<b>Target Risk Date</b>	31-Mar-2027	
<b>Original Risk Score</b>	9	Likelihood Impact	<b>Target Risk Score</b>	3	Likelihood Impact
<b>Current and Previous Risk Assessment</b>					
<b>Current Assessment &amp; Previous Assessment</b>	17-Feb-2023				12

## Appendix 1 (a)

	21-Oct-2022		12
Internal Controls			Current Status
Five Year Financial Model and Deficit Reduction Plans	<ol style="list-style-type: none"> <li>1. Monitor and update the 5 year financial model as required and review with CMT.</li> <li>2. Assess against progress on Deficit Reduction Plan and savings targets.</li> <li>3. Monitor income volatility in relation to use of New Homes Bonus (NHB) (Policy approved) and localisation of both Council Tax Reduction scheme (CTR) &amp; business rates.</li> <li>4. COVID recovery and financial planning reports agreed by Council 21 July 2020. New framework for service prioritisation model to develop future service delivery from 2022-23.</li> <li>5. Budget review tasks after election in May 2023.</li> </ol>		Good
Income Streams	<ol style="list-style-type: none"> <li>1. Monitor income performance and review with SLT so remedial action can be taken.</li> <li>2. Divisional Managers and service managers monitor income monthly from budget monitoring reports.</li> <li>3. Service managers to assess fee setting for services in accordance with Fees &amp; Charging Policy, and react when if income reductions occur.</li> <li>4. Putting money in place to achieve better returns.</li> </ol>		Good
Reconciliation of Income	<ol style="list-style-type: none"> <li>1. Monthly reconciliations by services.</li> <li>2. Non compliant services are identified by Internal Audit when service is reviewed as part of the Audit Plan.</li> <li>3. Support given by Financial Services when setting up new income streams and reconciliation processes.</li> </ol>		Good
Control of Expenditure	<ol style="list-style-type: none"> <li>1. Approval limits and routes for additional funding are detailed in the Council's Constitution and Financial Regulations.</li> <li>2. Quarterly monitoring of major variances by SLT.</li> <li>3. Quarterly Financial Health Check meetings by Financial Services with Directors and Divisional Managers prior to SLT's quarterly revenue and capital monitoring review. Results published on the Council website and detailed in the member's bulletin.</li> </ol>		Good
Financial Strategy Principles	<ol style="list-style-type: none"> <li>1. All key decisions of the Council should relate back to the Corporate Plan.</li> <li>2. Ensure the revenue and capital programme remain balanced and sustainable over a rolling 5 year period.</li> <li>3. Over the next 5 years maintain a position of non-dependency on reserves.</li> <li>4. In order to maintain a balanced budget in a climate of no growth, savings in the revenue budget or external funding will need to be identified before any new revenue expenditure, including capital expenditure that has revenue consequences, is approved.</li> <li>5. Review costs in response to changes in service demand.</li> </ol>		Good

## Appendix 1 (a)

	<p>6. Where the Council has discretion over charging for services, consideration needs to be given as to the extent to which service users should bear the costs, and the proportion met by Council Tax.</p> <p>7. Continue to review the Council's costs in order to find further savings.</p> <p>8. Match Council Tax increases to a realistic and affordable base budget.</p> <p>9. Budgets should be pooled with other service providers to achieve more effective and cost efficient outcomes for the community.</p> <p>10. New Homes Bonus (NHB) is a non ring-fenced grant from Government. Council policy has agreed in principle that this funding should be reserved to reward communities that have accepted growth. However, the allocation of this source of funding and its use must take into account that as this is not new funding; it can be used to protect services, and aid the council's legal requirement to set a balanced budget. The allocation of this funding will be reviewed annually during the budget setting process considering the financial settlement from Government.</p> <p>11. Localisation of Business Rates. The decision to pool our business rates should be reviewed annually after receipt of government draft settlement to that the Council is in the best financial position. The Section 151 Officer continues to review the risks and opportunities that will emanate from the 100% localisation of business rates.</p>	
Revenue and Capital Programme Principle	<p>1. Capital receipts, reserves and interest on investment will primarily be available for new investment of a non-recurring nature, thereby minimising the overall financial risk.</p> <p>2. Ensure that a sufficient level of reserves are maintained, as informed by the Financial Strategy, so that the Council can remain flexible and is able to respond to a changing local government environment.</p> <p>3. Borrowing could be used for capital schemes or "invest to save" projects providing the cost of servicing the debt is contained within the revenue savings/income the project generates. The payback period for invest to save projects should be shorter than the life of the asset.</p> <p>4. A Capital Strategy which sets out the clear vision of the council's capital ambitions, linked to the Corporate Plan and all other key strategies and policies which aid the decision making process for the allocation of resources to projects. The governance arrangements are clearly set out in this document for an open and transparent process that adheres to good practice.</p>	Good
Treasury Management	<p>1. Generate better returns with the Treasury Management Strategy and the Investment Protocol and the Council's view of risk and increased diversity.</p>	Good
<b>Latest Position Statement</b>		
22 Feb 2023	<p>The Council's Financial Strategy and 5 year model have been updated to reflect the current situation in 2022-23 was approved by the Council at their November meeting.</p> <p>The strategy is set against a background of the long term effects of the pandemic, the uncertainty within the economy and the inflationary pressures being experienced. There is also uncertainty regarding future local government funding and the continued delay in the Government's funding review and any significant changes to Business Rates Retention Scheme. The model assumes that changes may occur for 2025-26 in the Business Rates Retention Scheme.</p> <p>Since the impact of the issues experienced from 2020 has meant that the council has used general fund reserves to help set a balanced budget in last couple of years, and in the main are forecast to do so over the medium term, using the £8m set aside to support the revenue</p>	

budget.

For the 2022-23 budget, it was estimated that £808,000 of reserves would be required for a balanced budget. However, the situation has changed significantly since setting the budget in March, and now we are forecasting to use around £2m, which are due to those costs that are outside our control plus the council have decided to invest in priority areas. These are generally one-off items and will not impact future year's budgets, amounting to **£1.136m**.

The Financial Strategy currently shows that we have an underlying deficit going forward of about £500,000 per annum. However, there are lots of uncertainties related to the assumptions made. These uncertainties are detailed in the report to Cabinet on 1 November.

In summary, if all of the uncertainties go in our favour, we still think we will need to make further savings of around £500,000. However, should any of the significant risks go against us we could easily find ourselves having to find savings running into £1m - £2m. No new policy options were built into this forecast which also assumed a £5 council tax increase based on previous referendum criteria from Government in the financial settlement for local government funding.

The strategy predicted a small surplus for 2023 of £99,000. And the budget developed for 2023-24 has a surplus position based on the draft budget of £150,000, where it has been proposed that this sum is allocated for measures to help address the cost of living crisis in addition to the £300,000 that Council allocated last year to the "Supporting You" programme. Demonstrating the Council's commitment to protecting those in its community who are most vulnerable. The draft budget including the allocation of the £150,000 allocation will be considered at Council on 7 March when setting the council tax for the coming year.

The settlement was better than anticipated in a number of areas:

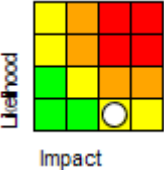
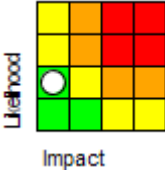
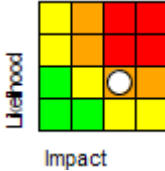
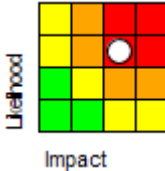
- Firstly, a new Funding Guarantee Grant worth £704k
- Secondly, the Services Grant which was expected to be withdrawn has been retained but at a reduced level. This is worth £91k.
- Rural Services Deliver Grant of £222k up from the £198k previously anticipated.
- Finally, there has been another year of New Homes Bonus allocation worth £811k.

Looking forward it is unclear if the Funding Guarantee Grant will be awarded again in 2024-25, reduced, or removed altogether. Members will need to bear in mind that while the Financial Strategy predicted a surplus in 2023, it also predicted a deficit position by 2025 and beyond.

Also, in the settlement the Council is expected to receive £170k of funding to provide a further round of Council Tax Reduction Support to help those most in need.

The budget assumes that the council tax will increase by 2.99% which equates to £5.26 on the council tax Band D average, or just 10pence per week. The Council continues to offer up to 100% support under the Council's Council Tax Reduction Scheme so the most vulnerable residents will be protected from this increase.

# Appendix 1 (a)

<b>CRR 08</b> <b>Skills / Capability / Capacity</b>		<b>Management</b>	Controlled
		<b>Corporate Links</b>	Corporate Plan Priority - Use Resources Effectively and Efficiently.
<b>Risk Description:</b> Failure to have resilience in the staff structure, and so lack the right number of staff with the right skills to deliver services, along with unrealistic expectations of services, which could lead to service failure, reputational damage and potential litigation.			
<b>SLT Risk Owner:</b> John Ward. <b>Responsible Officer:</b> Joe Mildred / Tim Radcliffe.			
<b>Original and Target Risk Assessment</b>			
<b>Original Risk Date</b>	31-Jul-2012		<b>Target Risk Date</b>
<b>Original Risk Score</b>	3		<b>Target Risk Score</b>
<b>Current and Previous Risk Assessment</b>			
<b>Current Assessment &amp; Previous Assessment</b>	22-Feb-2023		6
	17-Oct-2022		9
<b>Internal Controls</b>			<b>Current Status</b>
Workforce Development Plan	1. Ensure commissioning and objectives remain relevant and up to date. 2. Review personnel literature, marketing CDC as an employer at recruitment fairs. 3. CDC salaries - benchmarking exercise to be undertaken and monitored. 4. New apprenticeship Levy.		Good
Appraisal Process	1. Succession planning considered during appraisal process.		Good

## Appendix 1 (a)

	<ul style="list-style-type: none"> <li>2. Completion of appraisals on time.</li> <li>3. Strategic training needs identified.</li> </ul>	
Training Plan and Budget	<ul style="list-style-type: none"> <li>1. Use First Line Managers course to develop new managers.</li> <li>2. Use management apprenticeship or diploma programmes to develop CDC managers.</li> <li>3. Specific training programme for new Directors and Divisional Managers.</li> </ul>	Good
Recruitment Benefits	<ul style="list-style-type: none"> <li>1. Use of benefits packages to aid recruitment: relocation package widely used, exceptionally assisted house purchase scheme.</li> <li>2. Guidance to be issued for how to use recruitment benefits.</li> </ul>	Good
Staff Satisfaction Survey	<ul style="list-style-type: none"> <li>1. Staff survey to be undertaken every two years, and action plans progressed.</li> </ul>	In progress
Strategic Leadership Team & Divisional Managers	<ul style="list-style-type: none"> <li>1. Specific training programme to newly appointed Divisional Managers to address core competencies, hosted by Portsmouth University.</li> </ul>	Good
Measuring Staff Turnover by Significant Groups	<ul style="list-style-type: none"> <li>1. SLT to review turnover statistics and the reasons quarterly.</li> </ul>	Good
<b>Latest Position Statement</b>		
22 Feb 2023	<p>Increased use of premia payments (market supplements) for those areas with long term established recruitment issues and the use of the relocation package has aided recruitment for some service areas. Premia payments are subject to review every 2 years (review for implementation in April 23 recently completed), which is in line with the new procedure governing these as agreed with the Staff Side / Unison. However there are still recently been some significant recruitment and retention issues in some services including Planning, Environmental Health, HGV drivers and Building Services, who will continue to work with HR to ensure that appropriate resources and incentives are in place; these include further recruitment attempts including recruitment payments, flexible use of staff across the service, improved advertising of jobs and marketing of the Council as an employer, using head hunters and temporary (agency) staff, where required. It should be noted that this risk is linked to the national issue of shortage of labour in some sectors and our ability to control or mitigate this is limited.</p> <p>Review of Workforce Development Plan underway with a greater focus on the need to grow and develop our own staff.</p>	

# Appendix 1 (a)

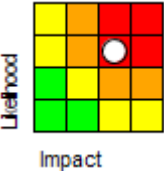
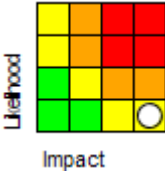
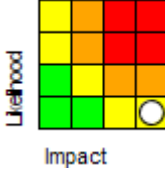
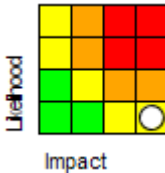
<b>CRR 09 Business Continuity</b>		<b>Management</b>	Controlled		
		<b>Corporate Links</b>	Corporate Plan Priority - Use Resources Effectively and Efficiently.		
<p><b>Risk Description:</b>          Failure to react to an incident that would adversely affect the delivery of services, including leading to a breach of the council's statutory duties under the Civil Contingencies Act and result in both inability to service the community and reputational damage.</p> <p><b>SLT Risk Owner:</b> Andrew Frost  <b>Responsible Officer:</b> Alison Stevens/Warren Townsend.</p>					
<b>Original and Target Risk Assessment</b>					
<b>Original Risk Date</b>	31-Jul-2012		<b>Target Risk Date</b>	31-Mar-2024	
<b>Original Risk Score</b>	9	Likelihood Impact	<b>Target Risk Score</b>	4	Likelihood Impact
<b>Current and Previous Risk Assessment</b>					
<b>Current Assessment &amp; Previous Assessment</b>	22-Feb-2023		6		
	14-Oct-2022		6		
<b>Internal Controls</b>					<b>Current Status</b>
Robust BC Plans	<ol style="list-style-type: none"> <li>1. The Business Impact Assessment (B.I.A) is refreshed annually with SLT.</li> <li>2. Critical services have Business Continuity (BC) plans covering the first 3 days of a business interruption.</li> <li>3. The BC plans are tested every 2 years.</li> <li>4. Retraining takes place where necessary, to embed BC into culture of the council.</li> <li>5. BC plans and associated documents are stored on the council's x drive and off-site on external site (Resilience</li> </ol>				Good



## Appendix 1 (a)

	Direct). 6. Non critical services also have plans for over 3 days business interruptions. 7. Health checks take place of Plans in all service areas. 8. Effective backup of data.	
BC Management Strategy	1. Annual BIA meeting held with SLT. 2. Monthly report from Safety & Resilience team to SLT cover any updates and issues. 3. Articles for team briefs or management forum to embed BC planning into organisation.	Good
Business Recovery Team	1. Training and repeated messaging to embed BC cultural into organisation. 2. Annual appraisals targets for Divisional Managers and relevant staff.	Good
<b>Latest Position Statement</b>		
28 Feb 2023	<p>There are different threats that can create a business continuity incident - this assessment considers the key threats but has to summarise our overall level of risk. Whilst the internal controls are good for business continuity management, the risk score remains fairly high as the likelihood of a business interruption is currently more likely with the current issues around the Ukraine conflict and the impacts that has on energy and fuel. For example, there is an increased risk of interruptions to power over the remaining winter period. We are still experiencing a low level of interruption in terms of staff illness at the depot in relation to covid. The majority of CCS staff cannot work from home if suffering from covid. The risk of a concurrent event, e.g. a cyber-attack is again probable. This is because CDC, like many large organisations, continually fights against potential attacks on our IT systems. We have good mitigation against cyber-attacks; however there remains a risk due to the frequency of attempted attacks and the changing nature of cyber threats. Physical mitigation controls against loss of IT or building/s are good and would be 'unlikely' and therefore less of a risk. We have excellent mitigation for the loss of the physical IT infrastructure based at EPH since the commissioning of the off site server room based at the Westhampnett depot. Should the servers located within EPH fail for any reason then the majority of the council's IT systems can be reinstated within a matter of hours. The threat of losing EPH due to a fire, for example, is no longer deemed significant as resilience is good in terms of staff being able to carry out their work from home. The Westhampnett Depot also provides a location for office-based activities to be relocated to. The Novium and a reciprocal mutual aid arrangement with WSCC provides a location for face to face council business to be conducted, if necessary. The BIA (Business Impact Assessment) continues to be refreshed annually by SLT – the last review took place on 14 November 2022. BC plans continue to be refreshed on a 6-monthly basis – the last review was completed in October 2022.</p>	

# Appendix 1 (a)

<b>CRR 68</b> <b>Health and Safety</b>		<b>Management</b>	Controlled
		<b>Corporate Links</b>	Corporate Plan Priority - Use Resources Effectively and Efficiently.
<b>Risk Description:</b> Failure to adhere to H&S policies and procedures leading to death or serious injury of an employee or third party resulting in prosecution or other enforcement action under H&S legislation, adverse publicity, fines and possible custodial sentences. Such failures may also lead to civil claims for compensation			
<b>SLT Risk Owner:</b> Andrew Frost <b>Responsible Officer:</b> Alison Stevens / Warren Townsend.			
<b>Original and Target Risk Assessment</b>			
<b>Original Risk Date</b>	03-Sep-2013	<b>Target Risk Date</b>	31-Mar-2024
<b>Original Risk Score</b>	9	<b>Target Risk Score</b>	4
			
<b>Current and Previous Risk Assessment</b>			
<b>Current Assessment &amp; Previous Assessment</b>	22-Feb-2023		4
	14-Oct-2022		4
<b>Internal Controls</b>			<b>Current Status</b>
H&S policies & procedures	Clear health and safety policies, procedures and guidance are available to all staff and members via intranet and in hard copy format at some sites. The Policy includes: 1. Statement of intent. 2. Hierarchy for communication/organisation. 3. Roles and responsibilities.		Good

## Appendix 1 (a)

	<p>4. H&amp;S arrangements - these are the policies, procedures and guidance for specific H&amp;S issues e.g., control of contractors, COSHH assessments forms etc.</p> <p>5. An extensive range of evidence compliance forms.</p> <p>6. Specific risk assessments for site visits undertaken for staff and member visits.</p> <p>7. Quarterly updates to Cabinet member for Planning &amp; Environment by the Safety &amp; Resilience Manager.</p>	
Training Programme & Competencies	<p>1. Specific training programmes for all aspects of H&amp;S skills and competencies required with the Council's business.</p> <p>2. Staff with relevant competencies and holding key responsibilities available on staff intranet.</p> <p>3. Training records maintained to evidence training provided.</p> <p>4. Training for all new members as part of the Members' Induction Programme.</p>	Good
Legionella Testing	<p>1. Written policy available.</p> <p>2. Regular testing and monitoring to demonstrate compliance.</p> <p>3. Pentana used to record monitoring and escalate areas of non-compliance.</p> <p>4. Staff involved in legionella management or may be exposed to legionella risk are provided with training.</p>	Good
Health & Safety, and Insurance performance meetings for high risk service areas	<p>1. CCS - Monthly insurance &amp; H&amp;S meetings with the Director of Corporate Services &amp; the Contract Services Divisional Manager with Safety &amp; resilience Manager &amp; CCS Technical Supervisor. To assess accident trends and claims and agree any actions required to staff duties, policies and procedures.</p> <p>2. The Safety &amp; Resilience Manager attends the quarterly CCS H&amp;S Management meetings. This is a high-level meeting with the service managers and lead officers to discuss H&amp;S performance across all CCS activities.</p> <p>3. All accidents, near misses and reports of ill health are investigated by the Safety &amp; Resilience team. Interventions made with the service where appropriate to improve systems of work to prevent reoccurrence.</p>	Good
PAT testing	<p>1. Annual testing of all electrical equipment carried out by qualified contractor.</p>	Good
Safety Committee	<p>1. A group of managers and employees ( including union representatives) meet 3 times a year to discuss health and safety issues and matters of interest. CCS, car parks, foreshores and the Novium feed into this committee. The Safety Committee reports any issues of significance to the Joint Employee Consultative Panel (JECF). Meeting minutes are posted on the council's intranet page for staff to access.</p>	Good
Caution Alert Register (CAR)	<p>1. Specific procedures and decision tree guidance in place for staff and members to follow on the intranet.</p> <p>2. Nominated person CR Keeper who maintains register and advises staff.</p> <p>3. Procedures in place for appropriate staff and members to access CAR.</p> <p>4. Compliance with data protection legislation included in policies and procedures.</p> <p>5. Incident response team available to support staff and members at EPH if an incident occurs.</p> <p>6. Conflict Management &amp; Physical Intervention training provided to relevant staff.</p>	Good
Emergency arrangements for Council Premises	<p>1. Evacuation procedures in place for EPH on staff intranet.</p> <p>2. Designated staff with allocated roles &amp; responsibilities for evacuation procedures.</p> <p>3. Regular testing of evacuation procedures carried out.</p> <p>4. Policy advising the arrangements in place for safe evacuation of council owned buildings.</p>	Good
Corporate H&S Audits &	<p>1. Programme of H&amp;S audits of service areas, improvements and observations which are fed back to Service, H&amp;S</p>	Good

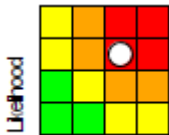
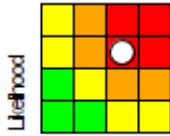
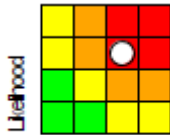
## Appendix 1 (a)

Action Plans for Service H&S Improvement	and management with any necessary improvement action plans. Progress with recommendations made are reviewed after an agreed period. 2. In addition, there is a programme of audits in place for the SLM leisure centres contract. This involves checking H&S performance and compliance in key identified areas.	
Contract Management	1. Every major contract should have an identified contract manager who is responsible for ensuring the delivery of the contract in accordance with specification. 2. The contract manager must ensure that their contractor adheres to H&S legislation in carrying out the specification and has a monitoring system in place which includes performance reporting to the council's contract manager. 3. Upon request the Safety & Resilience Manager will attend regular quarterly/annual meetings for the council's specific high risk activity contracts along with the contract manager, to liaise with the contractors regarding any H&S concerns. 4. Members are involved in major decisions on procurement matters.	Good
Health & Safety Corporate Compliance Group	• The group as set up early 2022 and meets quarterly to check compliance with statutory and locally set requirements across all directorates.	Good
Fire Safety Management	1. Activity based Fire Risk Assessments of all CDC managed premises are undertaken on a 2-yearly programme.	Good
Safety watch	1. The Safety & Resilience team undertakes monitoring visits to engage with operatives, check training / competence and compliance with policies and procedures. Waste/recycling crews, grounds teams, streets team and small works operatives receive at least 1 face to face Safetywatch visit per year. Waste/recycling crews also have 1 Safetywatch observation via live vehicle cameras per year. Results of Safetywatch are reported to CCS management.	Good
<b>Latest Position Statement</b>		
22 Feb 2023	The consequences of a serious accident or incident at work have the potential to be 'major', i.e. death of a member of staff, contractor or member of the public. Therefore, the severity of impact in the risk score is always going to be high. However, the Council operates an effective H&S management system with good controls in place to reduce the likelihood of such an incident. Despite having good systems and procedures in place, CCS remains the highest risk operation within the Council due to the nature of the work.  H&S compliance of CDC's biggest service contractor, Everyone Active, is monitored through a programme of audits carried out by the Safety & Resilience team on an annual basis.	

## Appendix 1 (a)

Applications	(Software) A rolling programme of installing the latest version of application software is in place, and detailed in our annual Service Plan roadmap. The move to Microsoft 365, being cloud based, has implications when accessing on-premises key business line of sight systems (e.g. IDOX, Northgate, CIVICA). An upgraded version of CITRIX successfully implemented during the summer, and adoption of zero trust security when implementing Microsoft 365, will mitigate any increased risks.	In progress
Physical Access door controllers and CCTV	(System) Not in ICT control and management. Allows physical access to building and specific sections with swipe card. As part of our network this is still scanned. An example of a system with default admin rights still in place, e.g. User 'Admin' and Password 'Password' There are steel shutters on windows and doors. In addition, we monitor sensitive parts of our estate e.g. room 6 with CCTV.	Good
Backups	(System) Weekly data (tape) backups are encrypted and verified. Good security practice in place, with weekly tapes removed from the EPH premises. The new CDC off site server project was formally completed, as reported to Cabinet in September, following a full test programme. During Q3/Q4 we will be supporting the Safety & Resilience led review of corporate business continuity arrangements, taking into account the new DR server capability (cf. CRR09).	Good
Change control	(System) Introduced on 1st April our new change management approach has proved very effective. Based on International Technology Infrastructure Library (ITIL) best practise and National Cyber Security Centre (NCSC) guidance, we have improved our controls in this area. Tested during the x6 emergency patching (c.f. Patching entry above) this internal control is now assessed as Good.	Good
<b>Latest Position Statement</b>		
22 Feb 2023	<p>This year we have completed the roll out of Microsoft 365 (for staff) which has introduced enhanced security through the introduction of In Tune and multi factor authentication. We have completed testing and commissioned our new corporate Disaster Recovery Server facility and have had a successful annual IT Health Check. Historically linked to maintaining access to the Public Sector Network (PSN), this annual evaluation is commissioned to cover our entire network.</p> <p>Based on these outcomes the impact risk score remains at 2.</p>	

## Appendix 1 (a)

<b>CRR 185</b>	<b>Housing - Potential Increase in Homelessness Service Demand due to Increased Cost of Living and Ukraine Sponsorship programme Impact</b>		<b>Management</b>	Controlled	
			<b>Corporate Links</b>		
<b>Risk Description:</b> Failure to meet potential increase in homelessness service demand due to increased cost of living and Ukraine sponsorship programme.					
<b>SLT Risk Owner:</b> Louise Rudziak <b>Responsible Officer:</b> Kerry Standing					
<b>Original and Target Risk Assessment</b>					
<b>Original Risk Date</b>	17-Feb-2021			<b>Target Risk Date</b>	31-Mar-2024
<b>Original Risk Score</b>	9			<b>Target Risk Score</b>	4
<b>Current and Previous Risk Assessment</b>					
<b>Current Assessment &amp; Previous Assessment</b>	22-Feb-2023			9	
	27-Oct-2022			9	
<b>Internal Controls</b>				<b>Current Status</b>	
County Level	All councils within West Sussex have joined up to fund a new Housing and Policy Officer post to work across the district and borough councils to improve joint working, aid service improvements and outcomes for residents. One of the key initial priorities will be looking at prevention work to minimise housing approaches. At Chichester we are currently liaising with our largest registered providers to obtain rent arrears levels so that we can look at the likely number of future homeless approaches whilst ensure operationally we have practices in place including working with the registered providers to minimise homeless approaches overall.			In progress	

## Appendix 1 (a)

Adequate Staff Resources	All posts within Housing are filled and the restructure has bedded in well.	Good
Prevention Work	Prevention work to identify potential evictions in advance with registered providers and private sector.	Good
Homelessness reviews and monitoring	A review will be undertaken during 2023-24 to monitor and forecast potential homelessness approaches to ensure our temporary accommodation provision need is understood, our needs can be met and where there are issues plans are developed accordingly.	Good
Prevention Tools	A number of financial support schemes are in place to support and prevent homelessness including some additional funding provided by WSCC.	Good
Home Finder & Use of Private Sector	The Home finder and private rented sector offer are under review to ensure we are set up in the most effective way moving forward through the supply of private rented properties, where these are required. The Home finder scheme in its current format is being wound down. As tenants move from properties these are being handed by to the respective landlord. A review of how we utilise private sector accommodation where we need to for a housing need is to be explored and options identified to do this. Whilst the social sector is so much more reliable for tenants from a tenancy security aspect some needs can be more urgently met through the private sector.	In progress
Financial Support	The Council has launched a Supporting You campaign which provides a ranger of support and services for residents including, but not limited to debt management advice, budgeting support and income maximisation etc.. All with the aim of helping residents support themselves and sustaining their tenancies. For 2023/24 an additional £100k has been allocated to top up the Discretionary Housing Fund. This will enable us to provide more support to those in need.	Good
New Initiatives	We have entered into an agreement with Beam from January 2023 as a pilot. This is a very different approach to how we have historically operated and we want to identify how we can best support homeless clients. Beam has 3 key benefits: 1) It helps individuals to crowd fund (to help them back onto their feet with start up costs i.e. interview clothing), 2) employment – works with motivated homeless clients who want to get into employment and 3) private rented sector – where Beam has shown its strengths is in its ability to work with the private sector to secure suitable properties. Given this model is different we wanted to pilot this to learn from it and to see if there are better ways of providing some of the service moving forward. Without pre-judging the pilot there are significant gains to be had with this i.e. employment rises and less impact on the public purse let alone all the social benefits this may bring and the benefits to the individuals themselves.	In progress
<b>Latest Position Statement</b>		
28 Feb 2023	Liaison meetings continue with WSCC whereby we monitor the impact of the Ukrainian scheme. To date we've seen very minimal impact from this. We have also committed to the Local Authority Housing Fund with two registered providers to provide the accommodation requirements for the Ukrainian scheme and Afghanistan resettlement scheme and we will review things if any further funding is made available later on in the year. At present we have committed to delivering what is required given the timescale of November 2023. The Supporting You team started in November 2022. Early indications of what this is delivering is encouraging and the outcomes are being reported to a Steering Group and members.	