Dear Members

Cabinet

A meeting of the Cabinet will be held in the Craddock Room, Civic Centre, Riverside, Stafford on Thursday 31 May 2018 at 6.30pm to deal with the business as set out on the agenda.

Please note that this meeting will be recorded

Members are reminded that contact officers are shown at the top of each report and members are welcome to raise questions etc in advance of the meeting with the appropriate officer.

A. R. Wells

Head of Law and Administration
CABINET - 31 MAY 2018
Chairman Councillor P M M Farrington

AGENDA

1 Minutes 3 May 2018 as published in Digest No 242 on 4 May 2018

2 Apologies

3 Councillors’ Question Time (if any)

4 Proposals of the Cabinet Members (as follows):-

(a) ECONOMIC DEVELOPMENT AND PLANNING PORTFOLIO

(i) Street Naming and Numbering - Road Names for a Housing Development off Eccleshall Road, Stone 3 - 5

(ii) Draft Statement of Community Involvement 2018 - Update 6 - 46

(b) RESOURCES PORTFOLIO

(i) Risk Management Report 47 - 75

Membership
Chairman Councillor P M M Farrington

P M M Farrington - Leader
R M Smith - Deputy Leader and Leisure Portfolio
J M Pert - Community Portfolio
F A Finlay - Environment and Health Portfolio
F Beatty - Economic Development and Planning Portfolio
K S Williamson - Resources Portfolio
1 Purpose of Report

1.1 To seek Cabinet approval to formally name new streets created at land off Eccleshall Road, Stone.

2 Proposal of Cabinet Member

2.1 To approve the recommended street names as set out in paragraph 5.2 of the report.

3 Key Issues and Reasons for Recommendation

3.1 This matter is referred to Cabinet in accordance with Part 3 of The Constitution (3.5.36), as it includes proposed street names relating to named individuals.

3.2 The decision to name streets after a person falls outside of the Head of Development’s delegated function and must be referred to Cabinet.

4 Relationship to Corporate Priorities

4.1 Corporate Business Objective 1: To deliver sustainable economic and housing growth to provide income and jobs.
5 Report Detail

5.1 The proposed names are required for roads serving a housing development off Eccleshall Road, Stone. A plan showing the location of the roads is attached as an APPENDIX.

5.2 Street names of World War 1 soldiers as suggested by the Parish Council and agreed by the applicant are:

   Myatt Avenue, Harston Grove, Lockley Walk, Clarke Way, Wardle Croft, Parker-Jervis Place and Bott Lane

5.3 Parker-Jervis was initially a concern with the Council as roads named Jervis and Parker already exist nearby. In addressing new roads the Council must be mindful of potential confusion caused to the emergency services, however Royal Mail have not raised any objections.

5.4 Streets proposed to be named after individuals must be reported to Cabinet. If Cabinet are not minded to agree the proposed names a further consultation will be required on alternatives.

6 Implications

6.1 Financial N/A
   Legal N/A
   Human Resources N/A
   Human Rights Act N/A
   Data Protection N/A
   Risk Management N/A

   6.2 Community Impact Assessment Recommendations
   The Borough Council considers the effect of its actions on all sections of our community and has addressed all of the following Equality Strands in the production of this report, as appropriate:
   Age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation.

Previous Consideration - Nil

Background Papers - File available in Development
Site location:
CABINET
31 MAY 2018
Draft Statement of Community Involvement 2018 - Update

1 Purpose of Report

1.1 To approve the updated Draft Statement of Community Involvement document (please refer to the APPENDIX) in line with recent Regulatory revisions for a 6 week public consultation exercise.

2 Proposal of Cabinet Member

2.1 That the updated Draft Statement of Community Involvement is approved for public consultation.

3 Key Issues and Reasons for Recommendation

3.1 The Planning and Compulsory Purchase Act 2004 Section 18 (Part 2) requires Local Planning Authorities to produce a Statement of Community Involvement to set out how they will engage with local people in preparing planning policy documents and determining planning applications.

3.2 A key objective of the planning system is to strengthen local community participation and stakeholder involvement in shaping future development and reaching planning decisions. Stafford Borough Council aims to build on this foundation and provide a transparent, user friendly and accessible way to encourage and maximise public participation.
3.3 The Borough Council’s current Statement of Community Involvement (SCI), was adopted in 2016. Due to recent changes to the planning system, including new arrangements that SCIs need to set out policies for involving communities and other interested parties in the preliminary stages of planning along with advice and assistance for preparing Neighbourhood Plans, an updated Draft Statement of Community Involvement has been prepared, in accordance with Regulations, to reflect these changes. Changes to the current SCI are shown in the Draft Statement of Community Involvement 2018 update by means of **bold & underlined** text or strikethrough.

3.4 This updated Draft Statement of Community Involvement commits the Council to meet a list of requirements when consulting with the local community in the preparation of planning policy documents and determining planning applications. These requirements include planning procedures for Neighbourhood Planning, Community Infrastructure Levy and Duty to Co-operate, are set out in the attached APPENDIX.

### 4 Relationship to Corporate Priorities

4.1 The requirements for carrying out effective consultation set out in this updated Draft Statement of Community Involvement will help deliver the Council’s Corporate Business Plan 2018-2021 key objective “To improve the quality of life of local people by providing a safe, clean, attractive place to live and work and encouraging people to be engaged in developing strong communities that promote health and well-being.”

### 5 Report Detail

5.1 This updated Draft Statement of Community Involvement provides a structured approach to engaging with local people and organisations across Stafford Borough on a variety of planning matters. It describes the main functions of the planning system in a user friendly manner to help local people and organisations understand the processes involved in preparing planning policy documents and determining planning applications. It also includes a vision to help strengthen community participation and engagement, as set out below:

“to provide a platform for people to express their views on planning matters and share their local knowledge in an interactive and inclusive manner, to help inform planning decisions and create effective strategies”.

5.2 It also includes a list of ‘Our Commitments to You’ that the Council will seek to achieve, to help deliver the vision.
5.3 The updated Statement of Community Involvement is split into two sections, setting out the general standards of consultation the Borough Council will meet. One section focuses on what planning policy documents are and the key stages in preparing Development Plan Documents, Supplementary Planning Documents, Community Infrastructure Levy and Neighbourhood Plans.

5.4 It shows who the key stakeholders are and explains when and how people are consulted during the preparation of these documents, including at the preliminary stages of plan-making. This section also shows the Council’s commitment towards satisfying the Duty to Co-operate legal requirement.

5.5 The other section focuses on the types of Planning Applications the Borough Council deals with and explains who, when and how people are consulted on development proposals.

5.6 Amongst other legal requirements set out in the document (attached), the Borough Council is required to provide a ‘specific consultation’ list of bodies (statutory) that must be consulted and a ‘general consultation’ list of those who may wish to be consulted on Planning Policy Documents and Planning Applications. These lists are not definitive and the Borough Council may need to consult with other bodies at the appropriate time. These lists can be found in the Appendices of the updated Draft Statement of Community Involvement. When consulting local communities and stakeholders in preparing Planning Policy Documents and determining Planning Applications, consultation and engagement will need to meet the requirements of the adopted Statement of Community Involvement.

6 Implications

<table>
<thead>
<tr>
<th>6.1 Financial</th>
<th>Work on the Statement of Community Involvement will take place using internal resources together with the consultation process. Therefore there will be no financial requirements on the overall New Local Plan budget in order to complete this work.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal</td>
<td>The Statement of Community Involvement commits the Council to meet requirements in the Neighbourhood Planning Act 2017 set out in the document and will also be subject to other relevant Planning Acts and Regulations. Furthermore the Statement of Community Involvement will be subject to a decision by Full Council prior to publication and adoption in line with the Constitution.</td>
</tr>
</tbody>
</table>


<table>
<thead>
<tr>
<th><strong>Human Resources</strong></th>
<th>Work on the Statement of Community Involvement will be delivered by existing staff from within the Development Department. At this stage it is not anticipated that external support will be required to complete this work.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Data Protection</strong></td>
<td>Representation received to the Statement of Community Involvement will be subject to the General Data Protection Regulations requirements.</td>
</tr>
<tr>
<td><strong>Risk Management</strong></td>
<td>Failing to progress with an updated Statement of Community Involvement would mean that the Council is not meeting its legislative requirements under the Neighbourhood Planning Act 2017 in the context of the Planning &amp; Compulsory Purchase Act 2004.</td>
</tr>
</tbody>
</table>

| **6.2 Community Impact Assessment Recommendations** | The Statement of Community Involvement is designed to provide the local community of Stafford Borough with an opportunity to be involved in the preparation of planning policy documents and the process of determining planning applications. It seeks to ensure no groups and individuals, including hard to reach groups, are excluded. |

| **Previous Consideration - Nil** |

| **Background Papers - File available in the Development Department** |
Statement of Community Involvement 2018 Update
Contents

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10. When We Will Consult – Planning Applications
11. Who We Will Consult – Planning Applications
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Glossary of Terms

Appendix 1 - Specific Organisation Bodies for Plan Making
Appendix 2 - General Consultation Bodies for Plan Making
Appendix 3 - Consultation Bodies for Development Management

*Stafford Borough Council adopted the current Statement of Community Involvement in February 2016. Changes to the SCI are shown in this Draft Statement of Community Involvement 2018 update by means of **bold & underlined** text or strikethrough.*
1 Foreword

1.1 This Statement of Community Involvement demonstrates Stafford Borough Council’s commitment to engaging with local people and other stakeholders in planning issues.

1.2 It will provide a structured approach to engaging with local people and organisations across Stafford Borough in the preparation of Planning Policy Documents and consideration of Planning Applications.

1.3 A key objective of the planning system is to strengthen local community participation and stakeholder involvement in shaping future development and reaching planning decisions. Stafford Borough Council aims to build on this foundation and provide a transparent, user friendly and accessible platform to encourage and maximise public participation.

1.4 Planning Policy Documents are not prepared in isolation and are progressed with the input of local people, businesses and other stakeholders. Therefore, it is important for those who live, work and enjoy being in Stafford Borough to have every opportunity to influence growth and development through the Council’s planning system. This will help us make the best possible planning decisions in the future.

Councillor Mrs Frances Beatty
Cabinet Member for Economic Development and Planning
2. Introduction

What is a Statement of Community Involvement?

2.1 A Statement of Community Involvement explains how the Local Planning Authority will engage with stakeholders, such as their local community and businesses, to prepare Planning Policy Documents and determine Planning Applications by describing who is consulted, how, and when.

2.2 This Statement of Community Involvement sets out Stafford Borough Council’s approach to strengthening community involvement, and engaging with stakeholders to help shape the use of land and development.

2.3 When consulting local communities and stakeholders in preparing Planning Policy Documents and determining Planning Applications, consultation and engagement will need to meet the requirements of this Statement of Community Involvement.

2.4 Under Section 18 (Part 2) of the Planning and Compulsory Purchase Act 2004, Local Planning Authorities are required to prepare a Statement of Community Involvement to describe how they will engage with local people on planning decisions.

2.5 The Borough Council’s first Statement of Community Involvement was adopted in 2006. In 2016 the Statement of Community Involvement was updated due to changes in the planning system (the Localism Act 2011, the introduction of the National Planning Policy Framework in 2012, adoption of the Plan for Stafford Borough in June 2014 and the replacement of ‘Local Development Frameworks’ with ‘Local Plans’).

2.6 This updated Statement of Community Involvement now sets out advice or assistance to be provided by the Borough Council to neighbourhood planning groups, as well as detailing how interested parties can be involved in the preliminary stages of plan-making: surveys, engagement in the preparation of the Brownfield Land Register and Permission in Principle development sites as well as and proposed Local Plan timetabling through the Local Development Scheme. These changes have arisen from Regulations under the Neighbourhood Planning Act 2017.
3. Vision and Our Commitment to You

Our Vision

3.1 The Borough Council believes that local community participation and involvement is central to the delivery of sustainable development and helps to provide effective planning for the future.

3.2 Our vision is “to provide a platform for people to express their views on planning matters and share their local knowledge in an interactive and inclusive manner, to help inform planning decisions and create effective strategies.”

Our Commitment to You

3.3 To achieve our vision,

- We will inform stakeholders about development proposals and planning applications as early as possible using a variety of methods and techniques
- We will create and prepare planning policy documents in a user friendly manner
- We will ensure our methods and approach are transparent and accessible to help people understand the planning process better
- We will record and consider views to help inform Planning Policy Documents and determine Planning Applications
- We will seek to work with groups and individuals who do not normally engage with planning
- We will encourage developers to consult on their proposals as soon as practicable.

A Consistent Approach

3.4 This Statement of Community Involvement has been aligned with the Borough Council’s emerging Communication Strategy. This Strategy, which sets out the Council’s approach towards engaging with local communities and stakeholders, aims to provide a transparent process that will help increase public engagement and ensure the Borough Council is capturing a wide range of views to help make effective decisions. The commitments stated above will help achieve the aims stated in the Communication Strategy and provide a consistent approach when consulting with the local community.

Council Constitution

3.5 Stafford Borough Council has a Constitution that sets out how the Council conducts its business, how decisions are made and ensure the procedures followed are consistent and transparent, so that the Council remains accountable to local people. To view the Council’s Constitution, please visit http://www.staffordbc.gov.uk/constitution
3.6 The requirements for carrying out effective consultation set out in this draft Statement of Community Involvement will help deliver the Council’s Corporate Business Plan 2018-2021 key objective:

“To improve the quality of life of local people by providing a safe, clean, attractive place to live and work and encouraging people to be engaged in developing strong communities that promote health and well-being”

Stafford Borough Community Compact

3.7 Stafford Borough Council is a signatory of The Staffordshire Compact. The Staffordshire Compact is a commitment between the third sector (made up of voluntary and community organisations) and public organisations (made up of local authorities, police, fire and rescue and the health authority) in Staffordshire. This compact aims to provide a framework for the third sector and public organisations to work together to provide more effective and co-ordinated services to local communities.

3.8 The Stafford Borough Compact was developed to help achieve shared aims and principles outlined in the Staffordshire Compact and to also demonstrate how it would support the voluntary and community sector in the Borough. This includes building stronger partnerships with the voluntary and community sector.

3.9 Stafford Borough Council has a responsibility to provide excellent services to the public and value for money to the taxpayer. The channels through which public services are delivered and by which the public has contact with the authority, (be that via telephone, online, in person or other means) are a critical part of public service provision and there is an ongoing impetus for them to be managed effectively and efficiently for everyone. This is why the Council have developed a Customer Access Strategy and ensured that the draft Statement of Community Involvement is aligned to it. By increasing the range of channels available for accessing a full range of services, customers are better able to engage at a time and in a way that suits their lifestyle. This makes it easier and more convenient for our customers to access services, when, where and how they choose to do so in the most cost effective way. Support Staffordshire is the new infrastructure organisation for the voluntary sector. With regards to planning matters, Stafford Borough Council will engage with VAST, who are the Voluntary and Community Infrastructure Organisation for Staffordshire, and Support Staffordshire (Stafford and District), who are the local Community Voluntary Service (or successor organisations) to help assist with the formulation and development of Planning Policy Documents, as and when appropriate.
3.10 In terms of consultation with the Voluntary and Community Sector, the Council will endeavour to provide adequate consultation timescales that are contained within the guidance outlined in the Compact Agreement. Stafford Borough Council is currently in the process of reviewing the existing Compact agreement with the Voluntary and Community Sector, and once this has been completed, it will be available on the Stafford Borough Council website to view.
4 The Planning System

The Planning System

4.1 The Planning System plays a key role in shaping the use of land and development to provide attractive, vibrant and well-designed places to live and work. Whilst it seeks to conserve and protect the environment, it also aims to provide new development that meets the needs for new housing, employment, and other facilities. This inevitably involves making some challenging decisions. The role of the Local Planning Authority is to make balanced decisions after considering consultation responses and other material planning matters.

4.2 The Planning System is made up of two parts:

- Plan Making - Planning Policy Documents
- Development Management - Planning Applications

Plan Making

4.3 Plan Making is referred to as planning policy or spatial planning. Plan Making requires Local Planning Authorities to produce a Local Plan for the area which sets out how the area will develop over a period of time. The Local Plan policies will be used to guide future development.

4.4 The process of creating a Local Plan requires Local Planning Authorities to identify and engage, at an early stage, with all those that may be interested in the development or content of the Local Plan, and with groups who may be affected by proposals. With the help of the local community and the collation of an evidence base, the Local Planning Authority will identify options for addressing local development needs, to inform a preferred approach for future development. This requires carrying out a robust community consultation with local communities, businesses and other interested parties.

4.5 The Local Plan includes a list of strategies and policies, allocations of land and resources that will deliver the overall vision for future development in Stafford Borough.

Development Management

4.6 Development Management is the process of determining Planning Applications. Planning Applications are submitted to the Council by those seeking permission from the Local Planning Authority to make changes to the use of land, existing buildings, or development of new buildings.

4.7 When determining Planning Applications, the Local Planning Authority has to consider the contents of the Local Plan, the National Planning Policy Framework, consultation responses, and any other relevant planning issues.
A Customer Service Approach

4.8 At Stafford Borough Council the Development Management team is strongly customer focused and aims to provide an excellent service. At the heart of processing Planning Applications is a customer care promise, which is effectively working towards specific standards of service. These standards can be found in the Planning Customer Service Charter, which includes a list of objectives, one of which embraces involving people in taking decisions that affect them.

4.9 To see the Planning Customer Service Charter, please visit http://www.staffordbc.gov.uk/planning
5 Planning Policy Documents

5.1 This section focuses on what Planning Policy Documents are and a general description of their contents. It explains who, when and how people are consulted during the preparation of Planning Policy Documents.

5.2 Planning Policy Documents provide the strategic framework to guide future growth and development proposals. They are used to help determine Planning Applications. There are two types of Planning Policy Documents: Development Plan Documents and Supplementary Planning Documents.

Local Development Scheme

5.3 The Local Development Scheme sets out the timetable and commitment for producing various Planning Policy Documents by detailing the defined Plan area and a profile of what each document will be delivering.

Development Plan Documents

5.4 Collectively, Development Plan Documents form the Local Plan for the area. They are the statutory documents that contain planning policies for the Borough. In Stafford Borough, the adopted Local Plan is made up of the Plan for Stafford Borough 2011 – 2031 and Part 2. Work has now started on a New Local Plan including evidence based studies, establishing a Brownfield Land Register and initial consultation exercises. Future work on all of these aspects will need to meet the requirements set out in the latest Statement of Community Involvement.

Sustainability Appraisal & Strategic Environmental Assessment

5.5 Development Plan Documents are subject to the Sustainability Appraisal process, which incorporates the requirements of Strategic Environmental Assessment. The Sustainability Appraisal assess the preparation of the Local Plan’s policies and proposals as these are development against social, environmental and economic objectives to ensure the best approach is delivered. A key element of the Sustainability Appraisal process is the baseline information established through survey data. A series of Sustainability Appraisal reports produced through the preparation of the Local Plan are consulted upon alongside the policies & proposals.

Supplementary Planning Documents

5.6 Supplementary Planning Documents are complementary documents that provide further details and guidance to policies contained in the Local Plan, and are used as material considerations in reaching planning decisions. Supplementary Planning Documents take many forms, ranging from a master plan or development brief, to design guides and general additional guidance produced by the Council.
Neighbourhood Planning

5.7 Neighbourhood Plans (sometimes called Neighbourhood Development Plans) were introduced by the Localism Act in November 2011 to enable local communities to further shape the development and growth of their local area.

5.8 Neighbourhood Planning allows communities to choose where new homes, shops, offices and other development should be built, identify and protect local green spaces and influence what new buildings should look like.

5.9 Neighbourhood Planning can be taken forward by two types of bodies - Town and Parish Councils or ‘Neighbourhood Forums’. Neighbourhood Forums are community groups, including local residents, that are designated to take forward Neighbourhood Planning in areas without Parishes. It is the role of the Local Planning Authority to firstly agree the formation of the Neighbourhood Forum and secondly to designate the Neighbourhood Area.

5.10 Preparing a Neighbourhood Plan enables communities to develop a shared vision, with key aims and objectives to help deliver new sustainable development for their area. Neighbourhood Plans set out planning policies that are used to help determine Planning Applications. They should help, not hinder development and must conform to the Local Plan.

5.11 The Borough Council will provide assistance and guidance to Neighbourhood Planning Groups in order to progress Neighbourhood Plans and ensure effective documents are delivered. When a Neighbourhood Plan has been adopted, it will then become part of the Local Plan and used to help determine future Planning Applications.

5.12 For more information and guidance on Neighbourhood Planning please visit http://www.staffordbc.gov.uk/neighbourhood-planning

Community Infrastructure Levy

5.13 The Community Infrastructure Levy allows Local Planning Authorities to set charges which developers must pay when bringing forward new development, to contribute towards the cost of new local infrastructure. This can include new roads, schools, health centres, and sport, recreation and green spaces.

5.14 A Community Infrastructure Levy is prepared by Local Planning Authorities before it is adopted. The key stages in preparing a Community Infrastructure Levy are set out on page 16.
6 When We Will Consult – Planning Policy Documents

6.1 Consultation on Planning Policy Documents takes place during a series of key stages as the document develops. Different types of Planning Policy Documents will have different mechanisms used for community involvement at various stages, including at the preliminary plan survey stage. Details of the timetable for these consultations are set out in the Local Development Scheme, which is also subject to a community engagement process.

6.2 Planning Policy Documents are prepared in accordance with the Regulations alongside the Planning and Compulsory Purchase Act 2004, the National Planning Policy Framework and the National Planning Practice Guidance.

6.3 The Stafford Borough Community Compact stipulates that there should be a minimum consultation period of 12 weeks for new policies and services that are being introduced. However, in line with the Town and Country Planning Regulations (2012), the Borough Council is required to consult for a minimum period of 6 weeks. To ensure that consideration is given to the Compact, the Borough Council will extend the period of consultation where necessary i.e. during holiday periods to ensure that those who are required to respond have sufficient time to do so.

6.4 The key stages in preparing different Planning Policy Documents and when you can get involved at each stage is set out below.

Key stages in preparing Development Plan Documents

6.5 The key stages required to prepare a Development Plan Document (DPDs) are shown below. Each stage is described, including when the Borough Council will carry out consultations.

Survey, Evidence Gathering and Early Engagement on Policy Options

6.6 The Borough Council will collate and consult on a range of socio-economic and environmental evidence, through the Sustainability Appraisal process. Furthermore survey information will be sought on key elements of the Development Plan Document, including a Call for Sites exercise alongside key housing and employment statistics. Furthermore each year the Brownfield Land Register will be reviewed to identify new development sites, which will include potential sites through the Permission In Principle approach. In order to prepare the policies and proposals for the Development Plan, the Borough Council will consult with the community and statutory organisations listed in Appendix 1 & 2, and establish the main issues for the document to address as part of developing policy options and key matters. This may include consultation on issues and reasonable policy alternatives.
6.7 The local community and stakeholders are encouraged to provide their details via a consultation database so that they can be kept informed throughout the following stages.

**Development of Policy Options**

6.8 The community and stakeholders, including statutory organisations, will be encouraged to participate in the on-going policy development process and a range of consultation / engagement methods will be used to help achieve this. Following on from the early engagement on policy options and key matters, the Council will consult on preferred options for the Development Plan Document for a 6 week period of consultation.

**Publication and Submission**

6.9 Following preparation of the Development Plan Document the Borough Council will publish a final version and invite comments on the document from the community, statutory organisations and other interested parties as part of a statutory 6 week consultation stage.

6.10 This is effectively the final stage to submit formal representations to the Borough Council on the Development Plan Document. The Borough Council will then submit the Development Plan Document, the Sustainability Appraisal and the entire evidence base, including the representations made, to the Secretary of State for an Examination in Public.

**Examination in Public**

6.11 An independent Inspector is appointed to undertake an Examination in Public, to test the legal compliance and soundness of the Development Plan Document whilst considering all representations made at the Publication stage.

6.12 Prior to the Examination in Public, the Borough Council must publish an advert notifying the public, including any interested parties, about details of the Examination.

6.13 Anybody who submitted representations at the Publication stage will have the opportunity to present their case to the Inspector.

6.14 During the Examination in Public stage the Council may propose Main Modifications to the document, if these are needed to make it “sound”. If this is the case further consultation on the proposed changes will be carried out. The Inspector will then produce a report setting out any changes the Borough Council must make to the document before it can be adopted.

**Adoption of Development Plan Document**

6.15 The Borough Council will receive the Inspector’s Report, publicise an adoption statement and adopt the Development Plan Document.
Key stages in preparing Supplementary Planning Documents

6.16 Supplementary Planning Documents (SPDs) are supporting documents and do not have the same status as Development Plan Documents.

6.17 When the stages of preparing a Supplementary Planning Document community engagement will take place, although unlike when producing are similar to the stages in preparing a Development Plan Document, except there is no Examination in Public. In addition the level and scope of community involvement will depend on the nature of the document being produced. For example, consultation on a Design Statement is likely to be focused on the particular area to which it will directly apply.

6.18 The Council will expect developers to follow similar consultation requirements for masterplans in the same manner as required for SPD's.

6.19 The diagram below shows the key stages for preparing a Supplementary Planning Document. Each stage is described including when the Borough Council will carry out consultations.

Evidence Gathering and Early Engagement

6.20 The Borough Council will engage with relevant stakeholders to collate appropriate evidence to produce the draft Supplementary Planning Document.

Publication of Draft Document

6.21 Following the evidence gathering stage, the Borough Council will prepare and publish a draft Supplementary Planning Document for consultation.

6.22 The Borough Council will invite comments from the local community, relevant stakeholders, statutory organisations and interested parties on the draft Supplementary Planning Documents for a 4 week period of consultation.

Adoption

6.23 The Borough Council will consider all the representations received from the consultation and make any necessary amendments to the final document before it is adopted.

6.24 The Borough Council will produce a statement summarising what consultation has been undertaken, the main issues raised and how these have been considered in the preparation of the Supplementary Planning Document.
Key stages in preparing Neighbourhood Plans

6.25 The key stages for preparing a Neighbourhood Plan are shown below. Each stage is described including when the Borough Council will provide advice, assistance and carry out relevant consultations.

Designation of Neighbourhood Plan Area

6.26 A Parish Council or Neighbourhood Forum can submit an application to the Borough Council requesting for a Neighbourhood Plan Area to be designated.

6.27 The Borough Council will publicise the Neighbourhood Plan Area Application and carry out a statutory consultation for a period of 4 weeks before it is considered for designation as a Neighbourhood Plan Area. The Borough Council will then publish details of its decision, including a map of the designated area.

Preparation of Neighbourhood Plan

6.28 The Parish Council or Neighbourhood Forum will prepare their Neighbourhood Plan in accordance with the Neighbourhood Planning (General) Regulations 2012, and the Neighbourhood Planning Act 2017. This involves collecting evidence, engagement and consultation with the local community on issues and options, and developing draft planning policies for inclusion in the Neighbourhood Plan.

6.29 The Borough Council will provide assistance and advice to the Parish Council or Neighbourhood Forum throughout the preparation of the Neighbourhood Plan in a timely manner when requested. Prior to the draft Neighbourhood Plan being subject to consultation, the Borough Council will prepare a Screening Report to assess the environmental implications. The Screening Report will be subject to a six week consultation exercise with the statutory environmental agencies.

Submission and Publication

6.30 The Parish Council or Neighbourhood Forum are required to submit the Neighbourhood Plan to the Borough Council who will then publish the proposed Neighbourhood Plan for a 6 week period of consultation. The Borough Council will notify all relevant stakeholders and invite comments during the consultation stage.

Examination

6.31 The Borough Council will arrange for an independent Inspector to examine the Neighbourhood Plan. Prior to the Examination, the Borough Council must publish an advert notifying the public, including any interested parties, about details of the Examination.
6.32 Following the Examination, the Inspector will produce a report to show whether the Neighbourhood Plan meets the basic and legal requirements set out in the Regulations.

Adoption of Neighbourhood Plan

6.33 Following receipt of the Inspector’s Report, this recommends any changes required and whether the Neighbourhood Plan can proceed to a referendum (vote).

6.34 The Council will publish the Inspector’s Report and arrange a referendum. If the Neighbourhood Plan is successful at referendum (achieved more than a 50% yes vote) the Borough Council will then adopt the Neighbourhood Plan and it will be used in the determination of Planning Applications in the Neighbourhood Plan Area.

Note: The Parish Council or Neighbourhood Forum preparing a Neighbourhood Plan is responsible for undertaking community engagement and consultation before the proposed Plan is submitted. Consulting with the wider community in the early plan making process could increase the likelihood of the Neighbourhood Plan being successful at the referendum stage.
Key stages in preparing a Community Infrastructure Levy

6.35 The Community Infrastructure Levy Regulations 2010 set out the procedure for Local Planning Authorities to meet in order to adopt a Charging Schedule.

6.36 The diagram below shows the key stages in preparing a Community Infrastructure Levy. Each stage is described including when the Borough Council will carry out consultations.

Preliminary Draft Charging Schedule

6.37 Following the production of an evidence base including viability reports and an Infrastructure Delivery Plan, the Borough Council prepares a preliminary draft charging schedule, which sets out the proposed levy rates. The Borough Council will then carry out a period of consultation seeking views from stakeholders on the proposed rates.

Draft Charging Schedule

6.38 Following consideration of the responses made to the preliminary draft charging schedule the Borough Council will publish a draft charging schedule for a 6 week consultation, seeking comments from all relevant stakeholders. The Borough Council will then submit a final draft charging schedule to the Secretary of State for an independent Examination. At this stage, anybody who has made a representation to the draft charging schedule has the opportunity to be involved as part of the Examination in Public.

Examination in Public

6.39 An independent Inspector is appointed to examine a draft charging schedule, and will consider all of the representations together with the evidence base.

6.40 Prior to the Examination in Public, the Borough Council must publish an advert notifying the public, including any interested parties, about details of the Examination.

6.41 During the Examination in Public, those who have made representations to the draft charging schedule can present further information to the Inspector. Following the Examination in Public the Inspector produces a report and recommendations regarding the draft charging schedule.

Adoption of Community Infrastructure Levy

6.42 The Borough Council will publish the Inspector’s Report and make any amendments prior to the Community Infrastructure Levy being adopted.
7 Who We Will Consult – Planning Policy Documents

7.1 In the preparation of Planning Policy Documents, a wide range of individuals, groups, representatives and organisations will be consulted.

7.2 In line with statutory obligations, the Borough Council is required to provide a ‘specific consultation’ list of statutory organisations who must be consulted (please see Appendix 1) and a ‘general consultation’ list of those who may wish to be consulted (please see Appendix 2) on Planning Policy Documents. These lists of bodies are not definitive and the Borough Council may need to consult with other organisations at the appropriate time.

7.3 Stafford Borough Council wants to ensure that all stakeholders have every opportunity to be involved with the preparation of Planning Policy Documents and no groups / organisations and individuals, including hard to reach groups, are excluded.

7.4 Stafford Borough Council maintains a database of over 3,000 consultees, which largely consists of those who have expressed an interest in being involved in the preparation of Planning Policy Documents. These are identified as key stakeholders and are shown in the diagram below.

**Key Stakeholders**

<table>
<thead>
<tr>
<th>Local Interest Groups</th>
<th>Residents</th>
<th>Businesses</th>
<th>Individuals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Neighbouring Local Authorities</td>
<td>Statutory Organisations</td>
<td>Land Owners</td>
<td>Councillors &amp; MPs</td>
</tr>
<tr>
<td>Voluntary &amp; Community Groups</td>
<td>Parish Councils</td>
<td>Developers</td>
<td>Hard to Reach Groups</td>
</tr>
</tbody>
</table>

7.5 Any resident, business or interested party can be included in this database by contacting the Borough Council’s Forward Planning team on 01785 619000, or visiting the online consultation portal. The Borough Council will comply with the **General Data Protection Act** to ensure personal information is kept confidential and secure.

**Duty to Co-operate / Statements of Common Ground**

7.6 The Council is required, under Section 110 of the Localism Act 2011, to engage with neighbouring authorities and other statutory organisations to satisfy the ‘Duty to Co-operate’ legal requirement, **including through Statements of Common Ground**. This is to ensure that neighbouring authorities and relevant organisations work together to meet development requirements and address any strategic cross boundary issues.
Stafford Borough Council has worked closely with all relevant Duty to Co-operate organisations throughout the production preparation of the adopted Plan for Stafford Borough. The Borough Council remains committed to fulfilling this Duty in the preparation of future Planning Policy Documents.
8 How We Will Consult - Planning Policy Documents

8.1 Stafford Borough Council will use a range of methods to involve local people and strengthen community involvement. The table below describes the various methods used for consulting on Planning Policy Documents.

<table>
<thead>
<tr>
<th>Method</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Letters &amp; Emails</td>
<td>Letters and emails sent out to notify relevant stakeholders about a consultation on Planning Policy Documents</td>
</tr>
<tr>
<td>Parish Forum Meetings</td>
<td>Attendance at Parish Forum meetings to provide Parish Councils with information on Planning Policy Documents</td>
</tr>
<tr>
<td>Display boards</td>
<td>Display boards are set up in the reception of Council Offices to raise awareness of consultation on Planning Policy Documents and how people can get involved</td>
</tr>
<tr>
<td>Public Exhibitions &amp; Workshops</td>
<td>Exhibitions are set up in various locations across the Borough to provide information on Planning Policy Documents. Workshops are organised to gather information and feedback from members of the public and other stakeholders to help inform Planning Policy Documents</td>
</tr>
<tr>
<td>Press Release</td>
<td>Press releases / adverts are issued to the local newspapers and local radio stations to raise awareness about consultation on Planning Policy Documents</td>
</tr>
<tr>
<td>Libraries</td>
<td>Hard copies of Planning Policy Documents, with response forms, are distributed to local Libraries for people to view and make comments</td>
</tr>
<tr>
<td>Council website <a href="http://www.staffordbc.gov.uk">www.staffordbc.gov.uk</a></td>
<td>Details of Planning Policy Documents are published on the website for the public to view, including details of the consultation and how to respond</td>
</tr>
</tbody>
</table>

Online Consultation

Consultation portal for people to enter their comments on Planning Policy Documents online.

Focus Groups

Interactive consultation events where the views of a specific group of people are sought. Examples of such groups include: Older People's network groups and Youth Councils.
### The Methods used for different types of Planning Policy Documents at various key stages

8.2 The table below shows what methods will be used for consulting on each of the Planning Policy Documents at different stages, as listed below.

<table>
<thead>
<tr>
<th>Methods</th>
<th>Development Plan Documents</th>
<th>Supplementary Planning Documents</th>
<th>Neighbourhood Plans</th>
<th>Community Infrastructure Levy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Letters &amp; Emails</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Parish Forum Meeting</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Display boards</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Public exhibition &amp; workshop(s)</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Press Release / Notice</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Libraries</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Council website <a href="http://www.stafford">www.stafford</a> bc.gov.uk</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>
What happens to the comments received on Planning Policy Documents?

8.3 All representations received via the online consultation portal will receive an automatic acknowledgement of the representation if received by e-mail and then be electronically recorded. The Borough Council will also accept comments by letter but will not acknowledge their receipt.

8.4 All representations will be **electronically recorded and then** published on the Borough Council’s website, **or through the Neighbourhood Planning Bodies website as relevant**, for the public to view via the online consultation portal. They will be considered and used to help inform the production of Planning Policy Documents.
9 Planning Applications

9.1 This section focuses on the types of Planning Applications the Borough Council deals with and explains who, when and how people are consulted on development proposals.

9.2 Most types of new development or the change of use of land and buildings require planning permission. There are other types of applications that request consent for works to Listed Buildings, demolitions and advertisements (signage). Furthermore Permission in Principle sites will be subject to consultation prior to receiving consent for development, including those sites identified on the Brownfield Land Register.

9.3 Planning Applications are decided by Local Planning Authorities in line with their Local Plan, unless there are good reasons not to do so.

9.4 Stafford Borough Council deals with approximately 1,000 Planning Applications each year. They are considered and determined through the Development Management process and can range from house extensions and minor applications to large scale mixed use proposals, which include major new housing, retail, leisure and industrial developments.

9.5 For more information on what development requires planning permission and how to submit a Planning Application please visit http://www.staffordbc.gov.uk/planning
10 When We Will Consult – Planning Applications

10.1 Consultation on Planning Applications is different to consultation on Planning Policy Documents. The scale, type and nature of Planning Applications will determine how the Borough Council will involve and consult with the community in accordance with the Town and Country Planning (Development Management Procedure) (England) Order 2015 (as amended). Permission in Principle development sites will be consulted on in accordance with the Town and Country Planning (Permission in Principle) Order 2017 and the Town and Country Planning (Brownfield Land Register) Regulations 2017.

10.2 The flowchart below shows the key stages in processing Planning Applications at Stafford Borough Council. Each stage is described further below.

Planning Application Process

1. New Application Received
2. Application Made Valid
3. Validity Checked
4. Consultation (21 days)
5. Assessment
6. Report and Recommendation Drafted
7. Planning Committee Decision
8. Decision Issued
9. Delegated Decision
Key Stages for Processing Planning Applications

Registering and Validating Applications

10.3 When the Borough Council receives a Planning Application it must first be registered and checked for completeness (validated). The validation process ensures that the applicant has met the local and national requirements for a valid Planning Application. For advice on making a planning application please visit: https://www.staffordbc.gov.uk/planning-applicants-how-can-we-help-you

For a list of the local and national validation requirements please visit http://www.staffordbc.gov.uk/information-needed-for-a-planning-application

10.4 The Case Officer assessing the application will consult with relevant officers such as County Highways, Tree Officer or Conservation Officer on the proposal as soon as possible. This highlights any potential issues or lack of evidence at an early stage.

Consultation on Planning Applications

10.5 The Borough Council will consult with relevant parties, which can include sending a letter to the occupiers of the neighbouring properties notifying them of the Planning Application. The Case Officer has to use his/her discretion as to who is defined as a near neighbour.

10.6 For information on which neighbouring properties are usually notified on Planning Applications, please visit https://www.staffordbc.gov.uk/letting-you-know-about-planning-applications

10.7 Neighbouring properties will be invited to make any comments within a time frame of 21 days, and encouraged to view the application on the Council’s website. The Council will consult with various organisations and bodies listed in Appendix 3 and 4, depending on the type of Planning Application.

10.8 The Borough Council will display a site notice for some developments on or near the site, and depending on the type of development may advertise the Planning Application in a local newspaper. The site notice and newspaper article will describe the nature of the Planning Application and how people can make comments.

10.9 People are encouraged to make comments electroically via https://www.staffordbc.gov.uk/planning-public-access

10.10 During the consultation period, the Case Officer will carry out a site visit, and collect information on the proposal including taking photos and sometimes measurements.
Making a Planning Decision

10.11 After the consultation period has ended, the Borough Council will consider the proposed application against the Local Plan, the National Planning Policy Framework, Neighbourhood Plans, any comments received and any material considerations (such as supplementary planning documents or other guidance), before the Case Officer makes his/her recommendation.

10.12 Planning Applications are approved, approved with conditions or refused.

10.13 Planning decisions are either made by Planning Committee or delegated to the Head of Development.

10.14 Large Scale Major Planning Applications are decided by the Planning Committee, and other planning applications can be called in by Borough Councillors, for a valid planning reason.

Pre-Application Assistance

10.15 The Borough Council welcomes and encourages pre-application advice with applicants and agents before submitting a Planning Application.

10.16 Pre-application advice is a discussion between a Case Officer and the applicant based on a proposed scheme. A discussion can take place over the phone, face to face, via email or a letter.

10.17 The Case Officer will help the applicant to identify the validation criteria and any potential concerns that need to be considered. The discussions respect commercial confidence and the detail of discussions is not publicly available before an application is made.

10.18 To access pre-application advice the Borough Council ask for a pre-application form to be completed with the details of the proposed development. To download a pre-application form please visit https://www.staffordbc.gov.uk/pre-application-advice

Pre Application Consultation

10.19 Applicants are encouraged, but not required by the National Planning Policy Guidance, to consult with local communities before submitting a Planning Application.

10.20 The Borough Council’s Local Validation Criteria requires applicants on larger applications to consult with local communities and businesses prior to submitting Large Scale Planning Applications. This is to give local people an opportunity to be involved in the planning process at an early stage, and help the application to be determined more quickly, by identifying and resolving issues as soon as possible.
Appeals

10.21 If a Planning Application is refused, not validated or not determined within the statutory timescale, or contains conditions that are considered unacceptable, the applicant who has submitted the Planning Application has a right to appeal to the Secretary of State. The Borough Council will notify anyone who has commented on the Planning Application about the appeal. The appeal is then dealt with by an independent Planning Inspector.

10.22 For more information about the appeals process please visit https://www.staffordbc.gov.uk/What-happens-after-a-decision-is-made
11 Who We Will Consult – Planning Applications

11.1 The Borough Council will encourage any individual, group, representative and organisation interested in a Planning Application to have their say, and ensure their views on planning matters are considered before the application is determined.

11.2 In line with statutory Regulations, the Borough Council will consult with those directly affected by the proposed development (living nearby, or adjoining property owners) and also invite representations from other consultees / organisations where relevant to the particular application (shown in Appendix 3). This list is not definitive and the Borough Council may need to consult with other organisations at the appropriate time according to the type, nature and location of the development. For example, the Canal and River Trust, Natural England and the Environment Agency will be consulted on Planning Applications involving development along canals or rivers.
12 How We Will Consult – Planning Applications

12.1 The Borough Council will use various methods to consult with the community on Planning Applications in order to determine planning decisions. The methods used are described below.

<table>
<thead>
<tr>
<th>Methods</th>
<th>How this works</th>
</tr>
</thead>
<tbody>
<tr>
<td>Letters and Emails</td>
<td>Letters and emails are sent out to those who the Case Officer considers are directly affected by the proposal, to notify and seek comments regarding the planning application.</td>
</tr>
<tr>
<td>Site Notice</td>
<td>Site notices are sometimes displayed, notifying the public on Planning Applications, inviting comments during a consultation period. Site notices are displayed on or near the site in question of the Planning Application.</td>
</tr>
<tr>
<td>Press Notice</td>
<td>Press notices are sometimes published in the Staffordshire Newsletter to notify the wider public and seek comments about certain Planning Applications.</td>
</tr>
<tr>
<td>Publicise Weekly Lists</td>
<td>Weekly lists of Planning Applications that have been validated are circulated to interested parties and published on the Council’s website for notification purposes only. To access this, please visit <a href="https://www.staffordbc.gov.uk/planning-weekly-list">https://www.staffordbc.gov.uk/planning-weekly-list</a></td>
</tr>
<tr>
<td>Online Public Access Link</td>
<td>People can view and make comments via the Council’s website. Planning Applications can be searched by entering an application reference number, street or keyword. People can also view other comments made and any associated documents including maps, plans and photos. To access this please visit <a href="https://www.staffordbc.gov.uk/planning-public-access">https://www.staffordbc.gov.uk/planning-public-access</a></td>
</tr>
</tbody>
</table>
The Methods used for different types of Planning Applications

12.2 The methods used for consulting on Planning Applications will depend on the nature, type and scale of Planning Application that is being considered. The table below shows the methods that will be used to consult on most common type of Planning Applications received at Stafford Borough Council.

12.3 When we receive a Planning Application with all the necessary plans and supporting information Government Regulations require that we notify those people potentially affected by it. This might be through a notice displayed on or near the application site, a public notice in the Staffordshire Newsletter, or by direct mailing to neighbours. Depending on the size and type of application, it could be a combination of all three.

12.4 On the smaller applications, the Regulations don’t specify which method of publicity we should use, so we have to decide which method is more appropriate. In most cases, we will write to neighbouring properties, wherever it’s possible to do so, but the Case Officers have to use their judgement as to the extent of the notification.

What happens to the comments received on Planning Applications?

12.5 The Borough Council will electronically record all responses received on Planning Applications. All representations will be published on the Borough Council’s website available for the public to view via Public Access.

12.6 All representations received before a decision has been made will be considered.
13 Monitoring and Review

13.1 Stafford Borough Council is committed to strengthening local community participation and stakeholder involvement in the planning process.

13.2 Each year the Council monitors and reviews the progress and effectiveness of the Local Plan in an annual Authority Monitoring Report. In addition and where appropriate, the Council will carry out a periodic review of the Local Plan.

13.3 In accordance with the Authority Monitoring Report, the Council will also review consultation activities that have been carried out in accordance with the Statement of Community Involvement. This is to ensure the methods and techniques used to engage with all stakeholders of the community are effective and robust.

13.4 The Council will use the following indicators to measure outcomes.
   - Number of people participating in consultation
   - Number of people using the Council’s online website to make representations

13.5 If significant changes are required to meet new circumstances or legislation changes, a review of the Statement of Community Involvement will be undertaken.
Glossary of Terms

**Adoption** – When a Planning Policy Document has been through all the stages of production and is accepted by the Council (and Inspector where relevant) it will then be adopted by full Council.

**Appeals** – This is a process designed for anyone who has applied to the Council for planning permission and is unhappy with the resulting decision refusal, conditions, or the lack of decision.

**Community Infrastructure Levy** - This is a levy allowing local authorities to raise funds from owners and developers of land undertaking new building projects in their area. **Stafford Borough Council does not currently have an adopted CIL.**

**Duty to Co-operate** – This is introduced by the Localism Act 2011 and places a legal duty on Councils to engage constructively and actively with certain specified bodies to maximise the effectiveness of Local Plan preparation.

**Examination in Public** – Development Plan Documents and the Community Infrastructure Levy are subject to an Examination. This is where an independent Planning Inspector assesses the soundness of the document. Representatives can provide their views to the Inspector.

**General Consultation Bodies** – These are organisations defined by the Town and Country Planning (Local Planning) Regulations (2012) that are required to be consulted at key stages of plan production. These include groups which represent different interests within a Local Planning Authority area.

**Inspector’s Report** – A report issued by a Planning Inspector regarding the planning matters discussed at the Examination in Public.

**Local Plan** – The Plan for the future development of the local area prepared by the Local Authority in consultation with the local community which is used to determine Planning Applications.

**Local Planning Authority** – The public authority whose duty it is to carry out specific planning functions for a particular area.

**Material Planning Considerations** – Factors that are considered to determine when determining a planning decision application, i.e. loss of light, parking or noise.

**National Planning Policy Framework** - This sets out the Government’s national planning requirements, policies and objectives which are used to inform production of Planning Policy Documents and help determine Planning Applications.

**Neighbourhood Plans** - A plan prepared by a Parish Council or Neighbourhood Forum for a particular neighbourhood area (introduced by the Localism Act 2011). It can include planning policies and land allocations for new development.
Planning Committee – This is a committee of local councillors that determine Planning Applications referred to them under the Borough Council’s Constitution.

Policies Maps – These illustrate the local plan policies on an Ordnance Survey Base Map.

Stakeholders – Any individual, group, organisation, developer or other party that is affected by or has an interest in planning matters.

Statement of Community Involvement – A statement explaining how and when the Council will consult with local and statutory stakeholders in the process of planning for the local authority area. This sets out the standards that the Council intends to achieve in relation to involving the community and stakeholders.

Specific Consultation Bodies – These are organisations defined by the Town and Country Planning (Local Planning) Regulations (2012) that are required to be consulted at key stages of plan production. They include neighbouring and Parish Councils, key service providers, Government agencies and Non-Government Organisations.

Sustainability Appraisal – This is a form of assessment which considers the environmental, social and economic effects of a Planning Policy Document. It appraises the contents of the document and suggests alterations to help achieve sustainable development.

Supplementary Planning Document - Documents prepared and produced by the Council that provide further guidance on specific policies to support the Local Plan or provide detailed guidance on the development of specific sites in the form of a master plan or development brief.

Site Allocations Document – Development Plan Document which forms part of the local plan that includes sites for specific or mixed uses or development to be contained in the Local Plan.
Appendix 1 - Specific Organisation Bodies for Plan Making

Specific Consultation Bodies for Plan Making

Adjoining Local Planning Authorities
Civil Aviation Authority
Highways England (West Midlands)
Historic England
Homes England and Communities Agency
Local gas and electricity providers
Local sewerage and water providers
Marine Management Organisation
Ministry of Defence
Natural England
Network Rail
NHS Property Services
Office of Rail Regulation
Public Health Commissioning Leads and Strategic Delivery Managers at
Staffordshire County Council
Staffordshire Clinical Commissioning Group (CCG)
South Staffordshire and Shropshire Healthcare NHS Trust
Stafford and Surrounds Clinical Commissioning Group (CCG)
Staffordshire and Stoke on Trent Partnership NHS Trust
Staffordshire County Council (including Highways Authority)
Staffordshire Police
Staffordshire & Shropshire Strategic Health Authority
Strategic Rail Authority
The Coal Authority
The Environment Agency
Town and Parish Councils within Stafford Borough as well as those adjoining the Borough
University Hospitals of North Midlands Trust
Appendix 2 - General Consultation Bodies for Plan Making

General Consultation Bodies for Plan Making

Airport Operators’ Association
Amenity groups
**Black Country Local Enterprise Partnership**
Canal and River Trust
Chamber of Commerce & Industry
Charities
Civic Societies
Community groups and residents’ associations
Countryside / conservation groups
Culture, Recreation and Faith groups
**Defence Infrastructure Organisation**
Disability groups
Ethnic minority groups
General Members of the Public
**Greater Birmingham and Solihull Local Enterprise Partnership**
Health groups
**Home Builders Federation**
Housing interest groups and housing associations
Landowners and Developers
Lesbian, gay, bisexual and transgender groups
Local business groups
Local Councillors and MPs
Local Canal Societies
Local interest groups
Local media
Local Public Transport Providers
Local telecommunication providers
Older groups
**Railway Infrastructure Managers including HS2**
**Sport England**
Stafford District Voluntary Service (SDVS)
Staffordshire and Stoke-on-Trent Local Enterprise Partnership
**Staffordshire Wildlife Trust**
Transport for London
Transport for West Midlands
Voluntary and Community Infrastructure Organisation (VAST)
Woodland Trust
Young Persons group
Appendix 3 - Consultation Bodies for Development Management

Consultation Bodies for Development Management

Canal and River Trust (formerly British Waterways)
Cannock Chase AONB Unit
Civil Aviation Authority
Coal Authority
**COMAH Competent Authority**
County Archaeological Officers
County Education Authority – SCC Schools Organisation
County Waste Disposal Authorities
**Crown Estate Commissioners**
DEFRA (The Secretary of State for the Environment, Food, and Rural Affairs
**Department of Energy & Climate Change**
Design Council / CABE
District (Neighbouring) Planning Authorities
Emergency Service and Multi-Agency Emergency Planning
Environment Agency
Forestry Commission
Garden History Society
Health Authorities and Agencies
Health and Safety Executive
Highways England (Secretary of State for Transport)
Highways Authority (Staffordshire County Council or Stoke on Trent City Council)
Historic England
Homes England and Communities Agency (formerly Regional Development Agency)
Internal Drainage Board (Sow and Penk IDB)
Ministry of Defence
National Air Control Transport Services
Natural England
**Neighbourhood Planning Bodies (Parish Councils / Neighbourhood Forums)**
Rail Network Operators
Parish Council (s)
Police Architectural Liaison Officer
**Police Crime Commissioner**
Railway Infrastructure Managers
Ramblers Association
Sport England
Staffordshire County Council
Theatres Trust
Water, Waste and Sewerage Undertakers

**Internal to Stafford Borough Council**
Biodiversity Officer
Tree Officer
Legal Services
Conservation Officer
**Sport & Outdoor Leisure Policy Officer** Cultural & Leisure Services
Environmental Health Officers Services
Regulatory Services
Pollution Control
Housing Strategy
**Design Advisor**
Forward Planning (planning policy)
1 Purpose of Report

1.1 To set out details of the Council’s Strategic Risk Register as at 1 April 2018.

2 Proposal of Cabinet Member

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 current risk profile is summarised in the table below:

<table>
<thead>
<tr>
<th>Risk Category</th>
<th>Number of Risks at 1 Oct 2017</th>
<th>Number of Risks at 1 Apr 2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>RED</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>AMBER</td>
<td>8</td>
<td>7</td>
</tr>
<tr>
<td>GREEN</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>TOTAL</td>
<td>8</td>
<td>8</td>
</tr>
</tbody>
</table>
4 Relationship to Corporate Priorities

4.1 This report supports the Council’s Corporate Priorities as follows:-

(a) 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.

(b) The strategic risks set out in the Appendices have been categorised against the Council’s priorities.

5 Report Detail

5.1 The Accounts and 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 The Council’s approach to risk management (including its risk appetite) has been reviewed and the revised policy and strategy was reported to the Audit Committee for endorsement at the March 2016 meeting and to Cabinet for approval at the May meeting.

5.4 Central to the risk management process is the identification, prioritisation and management of strategic risks/opportunities. Strategic Risks are those that have a significant impact on the Council’s ability to deliver its Corporate Plan Objectives Strategic risks/opportunities have been identified and prioritised, action plans are in place for their effective management and delivery of the action plans is monitored. A summary of the Council’s strategic risk register as at 1 April 2018 is attached as APPENDIX 1.
5.5 The risk summary illustrates the risks/opportunities using the “traffic light” method ie:-

- **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 remained at 8:-

- 1 new risks has been added (Number 44) - Capacity/Resilience to deliver the Business Plans

- 1 risk has been deleted – (Number 42) Non delivery of an alternative delivery vehicle for Leisure and Cultural services) due to the successful transfer of functions on 1 December 2018.

- The risk score for risks number 39 (Viability / Funding of Stafford Borough Council as a result of public expenditure reductions and changes to Government’s funding regime) has increased from 9 (Amber) to 16 (Red). This is to reflect the fact that there is significant uncertainty over the exact nature of the impact of the future Government funding changes from 2020-21 at this time.

The risk scores for the remaining risks remain as last reported to the committee. Although management have an ongoing programme of actions to manage the risks.

5.7 A progress update for those actions due up to March 2018 is included in the full strategic risk register attached at **APPENDIX 2**.

5.8 Additional information can be found in the Strategic Risk Register (**APPENDIX 2**) in the form of an ‘Overall Progress Summary’ for each risk, this is accompanied by a symbol to indicate whether progress is on target or otherwise.

The table below outlines the overall progress made in reducing risks since 1st October 2017:-

<table>
<thead>
<tr>
<th>Progress Indicator</th>
<th>Current position</th>
</tr>
</thead>
<tbody>
<tr>
<td>✗</td>
<td>No progress made in reducing the risk</td>
</tr>
<tr>
<td>⬆️</td>
<td>Some progress made in managing the risk</td>
</tr>
<tr>
<td>✔️</td>
<td>Risk on target to be reduced</td>
</tr>
</tbody>
</table>
## Implications

<table>
<thead>
<tr>
<th>6.1 Financial</th>
<th>Nil</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal</td>
<td>Nil</td>
</tr>
<tr>
<td>Human Resources</td>
<td>Nil</td>
</tr>
<tr>
<td>Human Rights Act</td>
<td>Nil</td>
</tr>
<tr>
<td>Data Protection</td>
<td>Nil</td>
</tr>
<tr>
<td>Risk Management</td>
<td>As set out in report and Appendices</td>
</tr>
</tbody>
</table>

### Community Impact Assessment Recommendations

The Borough Council considers the effect of its actions on all sections of our community and has addressed all of the following Equality Strands in the production of this report, as appropriate:

- Age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation.

**Previous Consideration - Nil**

**Background Papers**

File available in Risk and Resilience Section
Summary Risk Management Report as at 1 April 2018

<table>
<thead>
<tr>
<th>Risk No.</th>
<th>Risk Description</th>
<th>Risk Date</th>
<th>September 2017</th>
<th>April 2018</th>
<th>Direction of Travel over period reported</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>RED RISKS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>39</td>
<td>Viability / Funding of Stafford Borough Council as a result of public expenditure reductions and changes to Government's funding regime</td>
<td>2014</td>
<td>9 (Amber)</td>
<td>12 (Red)</td>
<td>↑</td>
</tr>
<tr>
<td><strong>AMBER RISKS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>34</td>
<td>Impact of Benefit Reform (e.g. Introduction of Universal Credit)</td>
<td>2013</td>
<td>9 (Amber)</td>
<td>9 (Amber)</td>
<td>↔</td>
</tr>
<tr>
<td>35</td>
<td>Increase in vacant business units in Stafford and Stone Town Centres</td>
<td>2013</td>
<td>9 (Amber)</td>
<td>9 (Amber)</td>
<td>↔</td>
</tr>
<tr>
<td>38a</td>
<td>Failure to realise the economic benefits associated with HS2</td>
<td>2014</td>
<td>10 (Amber)</td>
<td>10 (Amber)</td>
<td>↔</td>
</tr>
<tr>
<td>38b</td>
<td>Not addressing the environmental impacts of HS2</td>
<td>2014</td>
<td>10 (Amber)</td>
<td>10 (Amber)</td>
<td>↔</td>
</tr>
<tr>
<td>40</td>
<td>Failure to deliver phase 1 of the Stone Leisure Strategy on time and within agreed budget and subsequent failure to develop and deliver phase 2 of the strategy</td>
<td>2016</td>
<td>10 (Amber)</td>
<td>10 (Amber)</td>
<td>↔</td>
</tr>
<tr>
<td>43</td>
<td>Cyber-attack including targeted ransomware, malware and DDoS attacks</td>
<td>2017</td>
<td>9 (Amber)</td>
<td>9 (Amber)</td>
<td>↔</td>
</tr>
<tr>
<td>44</td>
<td>Insufficient Capacity/Resilience to deliver the priorities contained in the Corporate Business Plan</td>
<td>2018</td>
<td>9 (Amber)</td>
<td>New Risk</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>GREEN RISKS</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>There are no current Green Risks</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Deleted Risks**

<table>
<thead>
<tr>
<th>Risk No.</th>
<th>Risk Description</th>
<th>Risk Date</th>
<th>Deleted</th>
<th>Risk Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>42</td>
<td>Non delivery of an alternative delivery vehicle for Leisure &amp; Cultural services</td>
<td>2016</td>
<td>Deleted</td>
<td>6 (Amber)</td>
</tr>
</tbody>
</table>

↓ Risk has decreased ↔ Risk level unchanged ↑ Risk has increased
<table>
<thead>
<tr>
<th>Ref No: 34</th>
<th>Risk: Impact of Benefit Reform (eg Introduction of Universal Credit)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Owner: Head of Finance</td>
<td>Cabinet Member: K S Williamson</td>
</tr>
</tbody>
</table>

**Consequences Of Risk:**
- Increased demand for services (additional workload, pressure on service delivery, additional resourcing etc.)
- Increase in arrears on Council Tax
- Function may be transferred to Department of Work and Pensions
- Affects housing tenancies

**Links to Corporate Plan/Promises:**
- To improve the quality of life of local people by providing a safe, clean, attractive place to live and work and encouraging people to be engaged in developing strong communities that promote health and wellbeing.

**Gross Risk Score (ie without controls)**
- Likelihood: 4
- Impact: 3
- Total Score: 12 - RED

**Key Controls in Place:**
- Monitoring impact of localisation of Council Tax Support
- Liaison with DWP on implementation timetable for Universal Credits
- Budget advice available for affected residents to better manage their budgets set up
- Business Plan Actions have been established

**Residual/Net Risk Score (ie with controls in place)**
- Likelihood: 3
- Impact: 3
- Total Score 9 - AMBER

**Provisional Assessment of Risk - does the residual risk score need to be reduced**
- YES*

<table>
<thead>
<tr>
<th>Actions Planned</th>
<th>Timescale/Person Responsible</th>
<th>Progress/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monitor impact of Benefit Reform to identify areas of concern</td>
<td>Quarterly, Local Taxation &amp; Benefits Manager</td>
<td>An on-going monitoring routine is in place.</td>
</tr>
</tbody>
</table>

As at 01/04/2018
### STRATEGIC RISK REGISTER

**APPENDIX 2**

<table>
<thead>
<tr>
<th>Actions Planned</th>
<th>Timescale/Person Responsible</th>
<th>Progress/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identifying number of additional people falling into arrears with Council Tax payments</td>
<td>Quarterly, Local Taxation &amp; Benefits Manager</td>
<td>This forms part of the overall monitoring and any considerable difference would generate a review of the local scheme.</td>
</tr>
</tbody>
</table>

**Overall Progress Summary:** The full impact of benefit reform cannot be determined until the phased introduction of Universal Credits. The impacts of existing reforms continue to be monitored.  

<p>| Amber |</p>
<table>
<thead>
<tr>
<th>Ref No: 35</th>
<th>Risk: The failure to manage the changes to town centres as a result of changing trends away from shopping to leisure, living and working office use</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Owner: Head of Development</td>
<td>Cabinet Member: F BEATTY</td>
</tr>
<tr>
<td>Consequences Of Risk:</td>
<td></td>
</tr>
<tr>
<td>• Increase in vacant business units in Stafford</td>
<td></td>
</tr>
<tr>
<td>• Reduced business rates generation</td>
<td></td>
</tr>
<tr>
<td>• Reputational damage and subsequent impact on footfall and tourism offer</td>
<td></td>
</tr>
<tr>
<td>• Reduced investment from new and existing businesses into the area</td>
<td></td>
</tr>
<tr>
<td>Links to Corporate Plan/Promises:</td>
<td></td>
</tr>
<tr>
<td>• To <strong>deliver sustainable economic and housing growth to provide income and jobs.</strong></td>
<td></td>
</tr>
<tr>
<td>Gross Risk Score (ie without controls)</td>
<td>Likelihood: 4</td>
</tr>
<tr>
<td>Key Controls in Place:</td>
<td></td>
</tr>
<tr>
<td>• Vacancy rates monitored quarterly</td>
<td></td>
</tr>
<tr>
<td>• Ongoing support in Stafford via the Town Centre Partnership which has a new Chair to be supported by the incoming Economic Development Officer.</td>
<td></td>
</tr>
<tr>
<td>• Business rate reduction scheme launched 2017 for northern end of Stafford Town Centre</td>
<td></td>
</tr>
<tr>
<td>• Exploring new development opportunity areas in Stafford around the Station Gateway, Northern end of Town and South eastern end of the town centre</td>
<td></td>
</tr>
<tr>
<td>• Stone Traders Association set up</td>
<td></td>
</tr>
<tr>
<td>• Masterplan for Stafford Fusion being procured</td>
<td></td>
</tr>
<tr>
<td>• Progress with St Modwens over the Castletown development in the Stafford Gateway.</td>
<td></td>
</tr>
<tr>
<td>• SCC acquisition of the St Gobain site in the Stafford Gateway nearing completion.</td>
<td></td>
</tr>
<tr>
<td>• MIPIM Conference attended in March 2018 which has generated investment interest in the Borough.</td>
<td></td>
</tr>
<tr>
<td>• Constellation Partnership Growth Strategy being developed together with central government to deliver Stafford Gateway and Garden Settlement.</td>
<td></td>
</tr>
</tbody>
</table>

As at 01/04/2018
As at 01/04/2018

<table>
<thead>
<tr>
<th>Residual/Net Risk Score (ie with controls in place)</th>
<th>Likelihood: 3</th>
<th>Impact: 3</th>
<th>Total Score</th>
<th>9 - AMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provisional Assessment of Risk - does the residual risk score need to be reduced</td>
<td>YES*</td>
<td>NO</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Actions Planned</th>
<th>Timescale/Person Responsible</th>
<th>Progress/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Targeted actions identified from vacancy monitoring</td>
<td>Quarterly/Economic Regeneration Manager</td>
<td>Vacancy rates are still half the national average</td>
</tr>
<tr>
<td>Maintain active dialogue with land and property owners</td>
<td>On-going/ Economic Regeneration Manager</td>
<td>New development opportunities arising in Stafford town centre</td>
</tr>
<tr>
<td>Review Parking Strategy</td>
<td>Q1/ Business Improvement Manager</td>
<td>Proposed priorities for joint SBC/SCC Parking Strategy reported to Growth and Infrastructure Board during Q12017-18. Still being drafted – as part of wider review of Town Centre. Fairway has now been agreed as Car Parking and will be available Q1.</td>
</tr>
<tr>
<td>Station Gateway Project to be rolled out</td>
<td>Q4/ Head of Development</td>
<td>Project details being developed with Partners to progress this</td>
</tr>
</tbody>
</table>
### Actions Planned

<table>
<thead>
<tr>
<th>Actions Planned</th>
<th>Timescale/Person Responsible</th>
<th>Progress/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Station Gateway preferred options Cabinet report scheduled for June 2017</td>
<td>Q1/Head of Development</td>
<td>Completed - Housing Infrastructure bid submitted to government to bring site forward for development</td>
</tr>
<tr>
<td>Procurement of new business database to improve market intelligence</td>
<td>Q3 2017-18 Economic Regeneration Manager</td>
<td>Completed</td>
</tr>
</tbody>
</table>

### Overall Progress Summary:

All of the above actions are as captured in the Development Delivery Plan and the new Corporate Plan which is performance monitored on a monthly basis to identify any developing trends. Over a longer period of time this will build in greater resilience in responding to market changes.

---

As at 01/04/2018
### STRATEGIC RISK REGISTER

**APPENDIX 2**

<table>
<thead>
<tr>
<th>Ref No: 38a</th>
<th>Risk: Failure to realise and facilitate the expected economic growth and prosperity for Stafford and Stone associated with the development of HS2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Owner: Head of Development</td>
<td>Cabinet Member: F BEATTY</td>
</tr>
<tr>
<td>• Consequences Of Risk:</td>
<td></td>
</tr>
<tr>
<td>• Failure to deliver future investment into the area</td>
<td></td>
</tr>
<tr>
<td>• Delayed delivery of key regeneration projects such as Stafford Gateway</td>
<td></td>
</tr>
<tr>
<td>• Loss of potential business rate and council tax generation</td>
<td></td>
</tr>
<tr>
<td>• Failure of Constellation Partnership and reputational damage</td>
<td></td>
</tr>
</tbody>
</table>

**Links to Corporate Plan:**

- To deliver sustainable economic and housing growth to provide income and jobs.

**Gross Risk Score (ie without controls)**

- Likelihood: 3
- Impact: 5
- Total Score: 15 - RED

**Key Controls in Place:**

- Lead officer nominated
- Key stakeholder in the Constellation Partnership which aims to deliver 100,000 new homes and 120,000 new jobs as a consequence of the HS2 development
- Corporate Business Plan
- Petition process to ensure HS2 understands and delivers the wider economic benefits for the Borough.
- Ongoing partnership development with central government departments to deliver a new Garden Settlement.

**Residual/Net Risk Score (ie with controls in place)**

- Likelihood: 2
- Impact: 5
- Total Score: 10 - AMBER

**Provisional Assessment of Risk - does the residual risk score need to be reduced**

- YES*

**Actions Planned**

<table>
<thead>
<tr>
<th>Timescale/Person Responsible</th>
<th>Progress/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Station Gateway Project to be rolled out</td>
<td>Q4/ Head of Project details being</td>
</tr>
</tbody>
</table>

As at 01/04/2018
<table>
<thead>
<tr>
<th>Risk Description</th>
<th>Development</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Government being petitioned and ongoing discussions with various Central Government departments</td>
<td>Ongoing/ Head of Development</td>
<td>Presentation to Select Committee 22 May 2018</td>
</tr>
<tr>
<td>Development of a new Garden Settlement Board to oversee potential new development on the back of HS2.</td>
<td>Q3/ Head of Development</td>
<td>Project details being developed with Partners to progress this.</td>
</tr>
</tbody>
</table>

**Overall Progress Summary:** Station Gateway Masterplan project progressing on track. The development of a new Garden Settlement is gaining momentum. Technical document outlining new junction off the M6 completed which will inform the petitioning process and form part of the evidence to be developed further by the new Garden Settlement Development Board.

As at 01/04/2018
<table>
<thead>
<tr>
<th>Ref No: 38b</th>
<th>Risk: Failure to minimise the impact on the environment from the construction and operation of HS2</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Risk Owner: Head of Operations</td>
</tr>
<tr>
<td></td>
<td>Cabinet Member: F A Finlay</td>
</tr>
</tbody>
</table>

**Consequences Of Risk:**
- A reduction in the air quality from the construction activities. This could arise directly from the construction sites and indirectly from changes in the volume, composition, and location of traffic on the highway network.
- Excessive levels of Noise and vibration from construction and operation activities could lead to a significant effect on the residential amenity to domestic premises close to the proposed line.
- The negative effects associated with the off-site disposal to landfill of solid waste that will be generated by the construction and operation of the proposed scheme.
- The adverse effect of contaminant mobilisation.

**Links to Business Plan:** Objective 2: To improve the quality of life of local people by providing a safe, clean, attractive place to live and work and encouraging people to be engaged in developing strong communities that promote health and wellbeing.

2.5 - Continue to mitigate any disruption that HS2 will have on our communities whilst maximising the benefits for our economy

**Gross Risk Score (ie without controls)**
- Likelihood: 3
- Impact: 5
- Total Score: **15 - RED**

**Key Controls in Place:**
- Lead officer nominated
- Close working relationship with Staffordshire County Council and other District Council’s in Staffordshire on the route
- Partnership in forums and working groups to maintain influence with major construction leads – Arup

**Residual/Net Risk Score (ie with controls in place)**
- Likelihood: 2
- Impact: 5
- Total Score: **10 - AMBER**

**Provisional Assessment of Risk - does the residual risk score need to be reduced**
- **YES**

As at 01/04/2018
<table>
<thead>
<tr>
<th>Actions Planned</th>
<th>Timescale/Person Responsible</th>
<th>Progress/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continued participation in HS2 Noise, Air Quality and land contamination Forums</td>
<td>Ongoing Customer Services Group Manager</td>
<td>Using information gathered at the forums, the Service contributed to the Council’s petitioning document: Petition No. HS2-P2A-000152</td>
</tr>
<tr>
<td>Look to establish a SBC HS2 project Board</td>
<td>Tbc HS2 Lead / Head of Operations</td>
<td>Close working between the Council’s Development Manager and the Customer Services Group Manager has enabled better co-ordination on the issues that needed to be petitioned on.</td>
</tr>
<tr>
<td>Overseeing of Consultants Noise Monitoring</td>
<td>Completed Customer Services Group Manager</td>
<td>Officers took noise measurements alongside HS2 consultants to ensure accuracy. This phase of the work has been completed.</td>
</tr>
<tr>
<td>Respond to Phase Two A Hybrid Bill</td>
<td>QTR3 2017/18 Completed Customer Services Group Manager</td>
<td>The Service has inputted into the joint response to the Hybrid Bill which has been co-ordinated by SCC and has included Lichfield DC and Newcastle-under-Lyme BC. The Service contributed to the Council's petitioning document.</td>
</tr>
<tr>
<td>Response to the HS2 Promoter's Response Document to the Council's petition</td>
<td>QTR1 2018/19 Customer Services Group Manager</td>
<td>The Service will be require to comment on the Promoter's response to the Council’s petition.</td>
</tr>
</tbody>
</table>

As at 01/04/2018
**Overall Progress Summary:** Information obtained by officer’s participation in HS2 working groups to address noise, environmental, air quality and planning elements of the route alignment, during construction and subsequent operation, has assisted them in providing an input into the Council’s petitioning document. Continued liaison between the Council’s Development Manager and Customer Services Group Manager has enabled better shared understanding of the issues/risks; and the use of appropriate mechanisms to try and address the areas of concern.

<p>| Amber |</p>
<table>
<thead>
<tr>
<th>Ref No: 39</th>
<th>Risk: Medium Term Viability / funding of Stafford Borough Council as a result of public expenditure reductions and changes to Government’s funding regime</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Owner: Head of Finance</td>
<td>Cabinet Member: K WILLIAMSON</td>
</tr>
<tr>
<td>Consequences Of Risk:</td>
<td></td>
</tr>
<tr>
<td>• Unable to provide desired levels of service</td>
<td></td>
</tr>
<tr>
<td>• Council size becomes too small to sustain a viable organisation</td>
<td></td>
</tr>
<tr>
<td>Links to Corporate Plan</td>
<td></td>
</tr>
<tr>
<td>• To be a well-run, financially sustainable and ambitious organisation, responsive to the needs of our customers and communities and focused on delivering our objectives.</td>
<td></td>
</tr>
<tr>
<td>Gross Risk Score (ie without controls)</td>
<td>Likelihood: 4</td>
</tr>
<tr>
<td>Key Controls in Place:</td>
<td></td>
</tr>
<tr>
<td>• Medium term financial plan in place</td>
<td></td>
</tr>
<tr>
<td>• Annual Financial Plan and Medium Term Financial Strategy to 2020/21 in place</td>
<td></td>
</tr>
<tr>
<td>• The Revenue Budget for 2018/19 and indicative budgets for 2019/20 and 2020/21 are balanced (however the funding regime for 2020/21 is yet to be determined)</td>
<td></td>
</tr>
<tr>
<td>• Reliance on New Homes Bonus is reduced on an annual basis.</td>
<td></td>
</tr>
<tr>
<td>• Comprehensive Service Review being undertaken to re-align resources to Corporate Plan</td>
<td></td>
</tr>
<tr>
<td>• Corporate Budget Monitoring</td>
<td></td>
</tr>
<tr>
<td>• Evaluation of consultations on changes to government funding regimes</td>
<td></td>
</tr>
<tr>
<td>Residual/Net Risk Score (ie with controls in place)</td>
<td>Likelihood: 4</td>
</tr>
</tbody>
</table>

Provisional Assessment of Risk - does the residual risk score need to be reduced | YES |

As at 01/04/2018
<table>
<thead>
<tr>
<th>Actions Planned</th>
<th>Timescale/Person Responsible</th>
<th>Progress/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Responding to Government proposed legislation in relation to key funding regimes</td>
<td>On-going, Head of Financial Management</td>
<td>Work streams of DCLG/LGA and CIPFA in relation to 75% Business Rates Schemes and pilot areas to be monitored. Detailed responses to be submitted in relation to self-sufficient local government, 75% business rates retention and fair funding review as more technical detail becomes available.</td>
</tr>
<tr>
<td>Review criteria for 2019/20 Business Rates Pilot and subject to approval of partners submit application</td>
<td>On going</td>
<td>In Progress</td>
</tr>
<tr>
<td>Determine impact of Government proposals for key funding regime</td>
<td>On-going as information becomes available, Head of Financial Management</td>
<td>In Progress</td>
</tr>
</tbody>
</table>
### STRATEGIC RISK REGISTER

**APPENDIX 2**

**Actions Planned**

| Review impact of Implemented Savings Strands (as contained in Efficiency Statement) | All / Ongoing |
| Delivery Plan for Business Objectives of Corporate Plan | Chief Executive / Q2 |
| - To deliver sustainable economic and housing growth to provide income and jobs | |
| - To improve the quality of life of local people by providing a safe, clean, attractive place to live and work and encouraging people to be engaged in developing strong communities that promote health and wellbeing. | |
| - To be a well-run, financially sustainable and ambitious organisation, responsive to the needs of our customers and communities and focussed on delivering our objectives. | |

**Timescale/Person Responsible**

| Progress/Comments |
| to be agreed and implemented |

As at 01/04/2018
<table>
<thead>
<tr>
<th>Actions Planned</th>
<th>Timescale/Person Responsible</th>
<th>Progress/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Implement a rolling programme of service reviews to ensure that resources are</td>
<td>Corporate Business and Partnerships Manager /</td>
<td>Undertake a joint review into the best model/s for delivering environmental</td>
</tr>
<tr>
<td>aligned to business objectives and are operating as efficiently as they can be</td>
<td>Q3</td>
<td>services in Cannock and Stafford, including the possibility of extending shared</td>
</tr>
<tr>
<td></td>
<td></td>
<td>services between them.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Review of all other services to be undertaken.</td>
</tr>
<tr>
<td>Refresh Budget Strategy to identify alternative scenarios in relation to external</td>
<td>Head of Financial Management / Q3</td>
<td>Report to Cabinet/Council anticipated November 2018</td>
</tr>
<tr>
<td>funding sources</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Overall Progress Summary: The Council continues to progress the areas within its direct control with balanced budgets set for 2018/19 and 2019/20. A potentially balanced budget, based upon the current Local Government Finance Regime exists for 2020/21, however the key risks and uncertainty relate to the fundamental changes to Government Funding that take place in 2020/21 (implementation of 75% Business Rates Retention; Fair Funding and Business Rates Reset) whereas ongoing uncertainty exists in relation to the longevity of the New Homes Bonus grant scheme.

Details are unlikely to become clear before the Autumn of 2019 and hence Budget strategies need to be developed reflecting the various scenarios and efficiency savings implemented as soon as practically possible.

As at 01/04/2018
<table>
<thead>
<tr>
<th>Ref No: 40</th>
<th>Risk: Failure to deliver phase 1 of the Stone Leisure Strategy on time and within agreed budget and subsequent failure to develop and deliver phase 2 of the strategy.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Owner: Head of Development</td>
<td>Cabinet Member: M SMITH</td>
</tr>
<tr>
<td>Consequences Of Risk:</td>
<td></td>
</tr>
<tr>
<td>• Additional funding needed to complete the project is not forthcoming</td>
<td></td>
</tr>
<tr>
<td>• Reputational damage</td>
<td></td>
</tr>
<tr>
<td>• Impact on delivery of Health and Wellbeing agenda</td>
<td></td>
</tr>
<tr>
<td>• Unable to deliver corporate plan objectives</td>
<td></td>
</tr>
<tr>
<td>Links to Corporate Plan Priority</td>
<td></td>
</tr>
<tr>
<td>• To improve the quality of life of local people by providing a safe, clean, attractive place to live and work and encouraging people to be engaged in developing strong communities that promote health and wellbeing.</td>
<td></td>
</tr>
<tr>
<td>Gross Risk Score (ie without controls)</td>
<td>Likelihood: 4</td>
</tr>
<tr>
<td>Key Controls in Place:</td>
<td></td>
</tr>
<tr>
<td>• Programme Board in operation which manages financial and legal controls</td>
<td></td>
</tr>
<tr>
<td>• Dedicated Project Manager overseeing relevant milestones</td>
<td></td>
</tr>
<tr>
<td>• Project Plan</td>
<td></td>
</tr>
<tr>
<td>• Professional experts brought in (Consultants)</td>
<td></td>
</tr>
<tr>
<td>• Contractors on site</td>
<td></td>
</tr>
<tr>
<td>• Procurement of phase 1 complete</td>
<td></td>
</tr>
<tr>
<td>• Phase 1 construction programme on schedule</td>
<td></td>
</tr>
<tr>
<td>Residual/Net Risk Score (ie with controls in place)</td>
<td>Likelihood: 2</td>
</tr>
<tr>
<td>Provisional Assessment of Risk - does the residual risk score need to be reduced</td>
<td>YES*</td>
</tr>
</tbody>
</table>

As at 01/04/2018
<table>
<thead>
<tr>
<th>Actions Planned</th>
<th>Timescale/Person Responsible</th>
<th>Progress/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monthly reviews of the project timescale and costs by the Principals Group as well as the Project Board.</td>
<td>Monthly/ Head of Development / Leisure Partnerships Project Manager</td>
<td>On track</td>
</tr>
<tr>
<td>Contract delivery being monitored to ensure construction deadlines are met</td>
<td>Monthly/ Head of Development / Leisure Partnerships Project Manager</td>
<td>On track</td>
</tr>
<tr>
<td>A detailed phase 1 consultation has been completed on the future play and leisure needs for Stone including future usage of the Alleynes facility.</td>
<td>Q3 / Head of Development</td>
<td>On track</td>
</tr>
<tr>
<td>A brief has been prepared for the decommissioning of the Alleynes swimming pool and concept proposals have been drawn up.</td>
<td>Q3 / Head of Development</td>
<td>On track</td>
</tr>
<tr>
<td>Detailed mapping of S106 funding availability to support project in progress.</td>
<td>Q4 / Head of Development</td>
<td>On track</td>
</tr>
<tr>
<td>Work on local football facilities plan to commence in May 2018 which will identify priority projects and evidence for external funding.</td>
<td>Leisure Partnerships Project Manager Q3</td>
<td>On track</td>
</tr>
</tbody>
</table>

As at 01/04/2018
<table>
<thead>
<tr>
<th>Actions Planned</th>
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</thead>
<tbody>
<tr>
<td>Procurement of playing pitch strategy in progress. Due to be completed by February 2019.</td>
<td>Q4/ Head of Development</td>
<td>On track</td>
</tr>
<tr>
<td>Identification of potential surplus land in progress to fund future leisure requirements in Stone.</td>
<td>Q3 / Head of Development</td>
<td>On track</td>
</tr>
<tr>
<td>Planning application submission</td>
<td>Q1 2017-18/ Head Development</td>
<td>Planning permission granted July 2017</td>
</tr>
</tbody>
</table>

**Overall Progress Summary:**
Construction of new leisure centre progressing according to planned timescales. Phase 1 of consultation of future play, events and leisure in stone completed.

Amber

As at 01/04/2018
<table>
<thead>
<tr>
<th>Ref No: 43</th>
<th>Risk: Failure to repel or recover from cyber-attack including targeted ransomware, malware and DDoS attacks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Owner: Head of Technology</td>
<td>Cabinet Member: K S Williamson</td>
</tr>
</tbody>
</table>

**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 Corporate Plan/Promises:**
- **To be a well-run, financially sustainable and ambitious organisation, responsive to the needs of our customers and communities and focussed on delivering our objectives.**

| Gross Risk Score (ie without controls) | Likelihood: 4 | Impact: 5 | Total Score: **20 - RED** |

**Key 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

<table>
<thead>
<tr>
<th>Residual/Net Risk Score (ie with controls in place)</th>
<th>Likelihood: 3</th>
<th>Impact: 3</th>
<th>Total Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>9 - AMBER</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Provisional Assessment of Risk - does the residual risk score need to be reduced | YES*

<table>
<thead>
<tr>
<th>Actions Planned</th>
<th>Timescale/Perso</th>
<th>Progress/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information Risk Management- Continuous review and work on our information risk management regime</td>
<td>Ongoing/ Head of Technology</td>
<td>Policies under review. Some elements will be dealt these will be reviewed</td>
</tr>
<tr>
<td>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</td>
<td>Ongoing/ Head of Technology</td>
<td>Procurement in progress for the Annual Healthcheck</td>
</tr>
<tr>
<td>Application Security Assessment and Remediation action taken</td>
<td>Annually Head of Technology</td>
<td>The healthcheck will produce an action plan to feed into this. Other work will also be carried out to address</td>
</tr>
<tr>
<td>Security Compliance Assessment included in the survey</td>
<td>28thFebruary Head of Technology</td>
<td>As above</td>
</tr>
<tr>
<td>Threat intelligence, Vulnerability management, Operational management, via internal and external monitoring.</td>
<td>December 2018 Head of Technology</td>
<td>Will review the webfilter and internet filter to replace the current</td>
</tr>
</tbody>
</table>

As at 01/04/2018
<table>
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<th>Actions Planned</th>
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<th>Progress/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exploring options to improve security for sharing information with external partners</td>
<td>Ongoing Head of Technology</td>
<td></td>
</tr>
</tbody>
</table>

**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. **Amber**
<table>
<thead>
<tr>
<th>Ref No: 44</th>
<th>Risk: Insufficient Capacity/Resilience to deliver the priorities contained in the Corporate Business Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Owner: Chief Executive</td>
<td>Cabinet Member: K S Williamson</td>
</tr>
<tr>
<td>Consequences Of Risk:</td>
<td></td>
</tr>
<tr>
<td>• The Corporate plan priorities are not delivered in accordance with the desired timescale</td>
<td></td>
</tr>
<tr>
<td>• Resources may not be effectively used</td>
<td></td>
</tr>
<tr>
<td>Links to Corporate Plan/Promises:</td>
<td></td>
</tr>
<tr>
<td>• To deliver sustainable economic and housing growth to provide income and jobs.</td>
<td></td>
</tr>
<tr>
<td>• To improve the quality of life of local people by providing a safe, clean, attractive place to live and work and encouraging people to be engaged in developing strong communities that promote health and wellbeing.</td>
<td></td>
</tr>
<tr>
<td>• To be a well-run, financially sustainable and ambitious organisation, responsive to the needs of our customers and communities and focussed on delivering our objectives.</td>
<td></td>
</tr>
<tr>
<td>Gross Risk Score (ie without controls)</td>
<td>Likelihood: 4</td>
</tr>
<tr>
<td>Key Controls in Place:</td>
<td></td>
</tr>
<tr>
<td>• Corporate Plan sets out main priorities and timescales</td>
<td></td>
</tr>
<tr>
<td>• Corporate Business Planning process and MTFS</td>
<td></td>
</tr>
<tr>
<td>• Performance and Project Management Framework and Scrutiny Process</td>
<td></td>
</tr>
<tr>
<td>• Business Flow and reporting procedures via Leadership Team; Cabinet; Team meetings and individual 1:1 meetings</td>
<td></td>
</tr>
<tr>
<td>• Annual Employee Review process</td>
<td></td>
</tr>
<tr>
<td>Residual/Net Risk Score (ie with controls in place)</td>
<td>Likelihood: 3</td>
</tr>
<tr>
<td>Provisional Assessment of Risk - does the residual risk score need to be reduced</td>
<td>YES</td>
</tr>
</tbody>
</table>
### Actions Planned

<table>
<thead>
<tr>
<th>Actions Planned</th>
<th>Timescale/Person Responsible</th>
<th>Progress/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Detailed Service Business plans to be drafted including prioritisation of projects and timescales and to include key milestones, performance measures, risks to completion.</td>
<td>Leadership Team May 2018</td>
<td></td>
</tr>
<tr>
<td>Corporate Peer Challenge to take place that will examine the Corporate Business Plan and accompanying delivery plans</td>
<td>Tracy Redpath July 2018</td>
<td></td>
</tr>
<tr>
<td>Project Management methodology to be reviewed and updated</td>
<td>Tracy Redpath September 2018</td>
<td></td>
</tr>
<tr>
<td>Rolling programme of service reviews to be implemented</td>
<td>Tracy Redpath October 2018</td>
<td></td>
</tr>
<tr>
<td>Corporate Health and Wellbeing Strategy being developed to improve workplace health, build resilience and assist in reducing absence</td>
<td>Neville Raby March 2019</td>
<td></td>
</tr>
<tr>
<td>Staff Appraisal process to be updated to include a clear indication for all employees about their role in delivering Corporate Priorities and the specific projects which will deliver them.</td>
<td>Neville Raby June 2018</td>
<td></td>
</tr>
<tr>
<td>Corporate workforce development strategy being developed</td>
<td>Neville Raby September 2019</td>
<td></td>
</tr>
</tbody>
</table>

### Overall Progress Summary:  N/A New Risk

In accordance with the Risk Management Strategy, the green risks below are deemed to be tolerable (with existing controls in place) and will be monitored but require no further action at this time.

### GREEN RISKS

<table>
<thead>
<tr>
<th>Ref No:</th>
<th>Risk:</th>
<th>Score:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>None at present</td>
<td></td>
</tr>
</tbody>
</table>

As at 01/04/2018
### KEY TO PROGRESS SYMBOLS

<table>
<thead>
<tr>
<th>Progress Indicator</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>✗</td>
<td>No progress made in reducing the risk</td>
</tr>
<tr>
<td>▲</td>
<td>Some progress made in managing the risk</td>
</tr>
<tr>
<td>✔</td>
<td>Risk on target to be reduced</td>
</tr>
</tbody>
</table>

As at 01/04/2018