

**SPELTHORNE BOROUGH COUNCIL - CORPORATE RISK REGISTER**  
**2015/16 QUARTER 1**

## APPENDIX 1

**CORPORATE RISK REGISTER**

This register summarises the Councils most significant risk. It sets out controls in place and identifies any further action needed to mitigate risks. Actions are assigned to appropriate officers with target dates for implementation.

Reviewed September 2015

Level of risk: Likelihood vs. Impact on a scale of 1 (lowest) to 4 (highest)

RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
	1. Health and Safety failing resulting in death or serious injury to staff /public and legal action against the Council	4	Policies and SHE (Safety Health and Environment) system .The Health and Safety, Insurance and Risk Administrator manages the SHE Database, overseen by the Health and Safety, Insurance and Risk Manager. Managers have a legal requirement to conduct regular risk assessments. Induction training.	<i>Risk assessments for all Services are to be reviewed, and updated details entered onto the SHE system.</i>	MAT/ All Service Heads	30 June 2015 *R Requires Monitoring	Additional resource is currently in place to assist Managers in conducting/updating health and safety risk assessments for their Services. A report is going to Management Team in July proposing to make this increased resource permanent.  Annual Review of Risks and Inspections to commence in June .The Health and Safety, Insurance and Risk Administrator will be supporting Managers to input this into the SHE system. <b>Awaiting update from Stuart Mann.</b>
	2. Uncertainty surrounding the financial /economic/other consequences of contaminated land. Legal action against the Council.	4	Legal duty to inspect land and prioritise action. Documented records of all site investigations and assessments held. A separate risk assessment is held which is reviewed regularly. Reports issued to Management Team and Cabinet.	<i>The Contaminated Land Strategy to be finalised and approved by Cabinet.</i>	DCX (LO)/SEHM*	31/10/2015 *R Requires Monitoring	
	3. Disaster- major in borough, e.g. flooding, resulting in significant strain on council services (eg homelessness).	4	Corporate Emergency Plan updated and approved November 2013. Membership of Local Resilience Forum (LRF). Regular testing of Emergency Assistance Centre plan. Borough Emergency Centre Plans. Incident management training and exercising. Council has been part of a multi agency debrief to learn lessons and improve multi agency response via the Local Resilience Forum. Emergency Response requirements will remain the responsibility of the authority following the commencement of the Applied Resilience Service.	<i>3i. The Corporate Emergency Plan is being updated as normal (no major changes required). 3ii. The Head of Sustainability and Leisure will be monitoring the agreement with Applied Resilience to ensure satisfactory outcomes.</i>	CX (RT)/ RRM (NM)*	30th September 2015 Requires Monitoring	Function to be delivered via Applied Resilience Service from 1st September 2015. The contract agreement has now been finalised. To provide a full time member of staff with a view to increasing resilience and support for Emergency and Business Continuity Planning. Recommendations agreed by Cabinet relating to the flooding response have now mostly been addressed. Suggested improvements to the Business Emergency Centre (BEC) have not all been implemented due to plans to vacate Knowle Green.

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	4. Failure to manage corporate and service performance / failure to meet Council objectives and targets (Performance Management)	3	The Corporate Plan should set out targets for the authority which should be monitored by Members and Management Team. Service performance should be monitored by Management Team. Individual performance is monitored through the appraisal process. Flagship project performance is reported to Management Team and Members. Performance Management Working Group has been established to improve monitoring arrangements. Updates have been provided to Cabinet and the Audit Committee.	<i>Corporate Plan and priorities will be reviewed as a result of the new Council. The impact on ongoing projects, resources and Service Planning will need to be assessed.</i>	MAT / DCX LO	31/08/2015 Requires Monitoring	DCX (LO) liaising with the Leader.
	5. Failure to align service objectives to corporate aims and priorities / Failure to deliver services effectively due to poor service planning	3	The Corporate Planning process should set out a clear vision for the authority and specific targets. Some services have statutory responsibilities. Individual Service Plans should be derived from the Council's Corporate Plan and statutory/other responsibilities. Plans incorporate resources, risks, workforce, significant projects and performance indicators.	<i>Service Plans are being prepared for 2015/16. They will be made available on Spelnet, enabling other services to assess the likely impact.</i>	Service Heads/ MAT	31 March 2015 *O Requires Monitoring	The majority of service plans have been completed, although some are still awaiting comments from portfolio holders. There has been a delay in a number of services submitting their plans due to particular work pressures, but they are in hand. Service plans may need to be reviewed depending on whether there is any review of the Council's Corporate Plan.
	6. Failure of projects due to poor project management arrangements. Lack of resource and expertise to deliver and coordinate	3	1. Project management arrangements are in place including process for project initiation, consideration of resources available to deliver, identification of project risks and progress reporting processes. Corporate Project team is in place.	<i>1i. Many larger projects are asset related – this area will need to be kept under review due to limited resources in this area.</i>	MAT	30th September 2015*R Requires Monitoring	MAT reviewing Asset Management structure as part of 'Towards a Sustainable Future' (TaSF) programme. Additional resource to support the Joint Head of Asset Management approved and post advertised. Proposed restructure (draft) for 2016 promotes greater links between Planning, Asset
				<i>1ii Management team to consider limited capacity and revenue implications prior to approving additional / new projects.</i>	MAT	Ongoing monitoring	Approx 26 projects are currently being tracked through the Project Office and the TaSF programme. Closure reports have been completed for Manor Park cafe and Airport Parking. Other longstanding projects such as Short Lane and Ashford Multi-Storey Car Park are progressing in accordance with key milestones and timescales. In addition the Leisure Centre Contract is significant and due to commence shortly.

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			2. Staines upon Thames - The Head of Planning and Housing strategy has been appointed full time until the end of 2015 as the Staines upon Thames regeneration manager with support from consultants.	2. A number of procedural stages are being progressed associated with the sale of the Bridge Steet site.	STC & RM*	31st March 2016 *O Requires monitoring	5 work streams have been fully defined and documented. A report went to Cabinet on 16th December 2014 regarding the Bridge Street site when a preferred developer was chosen (subject to contract). In late April 2015 the preferred developer advised that they could no longer sustain their original bid level, and reduced the figure. A fast track bidding process was undertaken in June/July (with the top two bidders). A conditional agreement was signed with the preferred developer on 31 July 2015. The money the Council will receive is less than initially projected. Payment is now expected in the first quarter of 2016 as opposed to the end of the third quarter of 2015. This will impact on when the 'planned for' projected income from reinvesting the capital receipt comes on stream.
			3. Towards a Sustainable Future - The Head of Customer Services has mapped out a programme for this challenging initiative. This identifies roles, responsibilities, key deadlines, financial implications and risks. There are three work streams/mini programmes falling under the overall TaSF programme. Knowle Green - Relocation and Redevelopment projects assigned, approved and underway. High level risks and issues identified as well as outline budget costs. Mapping of the individual projects under the three work streams. Review completed of document retention and electronic data management systems (see section 7).	3i. Management Team to consider the resource requirements and funding for the 'Towards a Sustainable Future' programme. 3ii. High level overview of the three workstreams is underway to ensure cohesion and coordination.	MAT	Requires monitoring	MAT have assigned resources to the main areas of the TaSF programme, and projects are underway. A TaSF Programme Support Officer has been assigned with the task of coordinating all three main work streams under the TaSF programme. He reports directly to the Head of Customer Services who continues to oversee the direction of the programme. The Programme Brief has been completed and is due to go to Cabinet and Overview and Scrutiny Committee in September.
	7. Security / data breaches, resulting in system failure, Information Commissioner fines and reputational damage.	3	Back up and continuity arrangements managed by ICT and tested by Service Heads. ICT security policies. Personal Commitment statement required from staff. ICT security group assess ongoing risks. ICT disaster recovery test satisfactorily conducted March 2014. Information Governance Group. Head of Corporate Governance is the Senior Information Risk Owner (SIRO).	Information Governance Group to pursue action plan to ensure information assets are identified and managed.	Head of CG *	31/10/2015 R* Actions Outstanding	The Information Governance Group have not met since February to pursue the action plan. The absence of dedicated resources has been acknowledged by Management Team and consideration is being given to additional resource to support this area. The Committee Manager is responsible for keeping the issues log up to date.

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	7. See above.			<i>The Council's project team is currently considering the document retention policy and alternative electronic document management systems which will help to strengthen information security.</i>	HoCS*/ MAT	31 August 2015	The authority has decided on its approach to document management and implemented the first phase. The Idox document management system has been implemented for Environmental Health, Planning and Building Control with training being organised. Expanding Civica Contact Manager system. For internal Documents the plan is to review and rebrand Sharepoint.
	8. Failure to meet the minimum security requirements of the Government Code of Connection resulting in termination of connection to any other government sites/data.	3	A review group assesses compliance with the Government Code of Connection (COCO). Firewall installed, laptops encrypted, memory sticks banned until they are 'white-listed' as known devices on the network, and universal serial bus (USB) ports locked down. Dual factor authentication on all laptops. External penetration test and health check took place in October 2014. All Baseline Personnel Security Standard checks completed. CoCo re-accreditation achieved in January 2015 and a revised format required for next submission due in January 2016. The Cabinet Office has increased security requirements due to the implementation of the Public Service Network (PSN).	<i>The Head of ICT will be arranging the annual external penetration test and health check during October, in advance of the next CoCo submission due in January 2016.</i>	Head of ICT *	Ongoing monitoring 31st January 2016	
	9. Lack of business continuity planning to cover loss of building, equipment, ICT or staff - leading to loss or disruption to services	3	Business Continuity (BC) Policy . The BC Forum oversees progress of BC planning. All Services should have up to date and tested BC Plans, but this is not the case. Business Impact Assessments identify priority services, resources required for their continuation and time frame. Emergency protocols for loss of building access/loss of power/loss of ICT are being developed. Emergency messaging system for staff. Live loss and denial of access exercise for Knowle Green took place Sept 2013. Improvements made to telephony resilience.	<i>9i. Guidance to Services to update and test their Business Continuity plans will be a priority under the new service delivery model.</i> <i>9ii. The Head of Sustainability and Leisure will be monitoring the agreement with Applied Resilience to ensure business continuity is delivered.</i>	Service Heads/MAT/RM/Head of S & L *	31 October 2015 (R*). Requires Monitoring	The Risk and Resilience Manager prepared a briefing note for the June Audit Committee setting out progress to date, and plans to work closely with Services to update templates for business continuity planning as well as provide corporate steer and guidance on testing exercises. Function to be delivered via the Mutual Applied Resilience Service from 1st September 2015, with a view to increasing resilience and support for Emergency and Business Continuity Planning (full time officer will be assigned). The contract agreement between Spelthorne and Applied Resilience has been finalised.

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	10. Failure in service delivery due to over reliance on individuals	3	Service Heads/MAT are responsible for ensuring business continuity, including loss of key staff. Critical procedures should be documented and staff appropriately trained. Service Heads should review as part of the service planning process. Resilience may be provided from other local authorities or other organisations.	<i>MAT are reviewing structures as part of the budget saving exercise, and consideration will be given to resilience and succession planning arrangements.</i>	Service Heads/ MAT	Ongoing monitoring	Wellbeing and Resilience workshops and other training has been provided to support staff during time of organisational change.
	11. Failure in service delivery due to reduced capacity and increasing demands from the community. Increased risk of delay, errors or stress.	3	Short term reductions in capacity are accommodated by prioritisation and reallocating work amongst staff. Longer term impacts and changes to demand may be more difficult to address. Service review may be required to help match resources to the level of work. Resources need to be diverted to implementing new systems or introduce new ways of working. If resources cannot be enhanced, services will have to prioritise work to resources available. Staff have access to counselling via Occupational Health.	<i>Members and Management Team will need to keep resourcing levels under review, particularly the impact of new projects and any statutory obligations on service/project delivery.</i>	Service Heads/ MAT	Ongoing monitoring	MAT maintaining under review Towards a Sustainable Future (TSF) should help to address service levels/requirements and capacity issues
	12. Low morale as a result of increasing service demand, lack of staff & finance and uncertainty due to organisational review/restructure. Increased turnover, risk of losing expertise and impact on services.	3	Employment arrangements in place include recruitment and selection, pay and rewards, training and development. Change Management process, clear communications, performance management systems, appraisals, one to one's, team meetings, performance clinics, staff meetings. A tripartite pay group is meeting regularly to discuss officer pay.	<i>1: Management Team to keep under review, particularly in light of 'Towards a Sustainable Future'.</i>	MAT	Requires monitoring	MAT maintaining under review . The Head of Human Resources advises MAT as appropriate. Revised structure charts have been issued to all staff outlining proposals for the permanent restructure from 2016, although these may be subject to further change. There is a risk of increased turnover during current times of uncertainty which MAT acknowledge.
				<i>2. A peer review took place January 2014 and an action plan has been developed.</i>	DCX (LO)	31 October 2015 R* Requires Monitoring	An action plan has been produced by Management Team in consultation with the Leader, which is being progressed. The key elements of the action plan are summarised in the conclusion of the Annual Governance Statement for 2014.

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	13. Failure to comply with the Council's corporate governance requirements and standards resulting in poor value for money, Costly legal challenges and reputational damage.		Corporate Plan setting out clear purpose, vision and outcomes. Constitution setting out clearly defined roles/rules for Members/Officers. Code of Corporate Governance and Codes of Conduct to promote high standards of conduct and behaviour. Informed and transparent decision making processes open to scrutiny. Member and staff training programmes.Accountability through published accounts and community engagement .	<i>The Council's Code of Corporate Governance is to be reviewed in 2015/16</i>	MAT	Ongoing monitoring	Induction programme for new councillors elected in May 2015 is in place including briefing on roles and responsibilities, financial position, delivering services and current key issues. <b>Awaiting update from the Head of CG.</b>
	14. Procurement - Weak governance arrangements and lack of transparency in procurement decisions. Contractual disputes and claims through poor specifications. Weak contract management resulting in Contractors/partners failing to deliver expected outcomes. Reputational damage and costly challenge by other companies.	3	Contract Standing Orders set out tendering requirements. Officer Code of Conduct sets out requirement for declaration of interests. Contract guidelines with compliance checklist. Legal team provide support on contract management and major procurements. Contract management training held in 2012 and 2013. Specification writing training taken place. Procurement training In October 2014. Development of the e-procurement system continues and further contracts continue to be sourced with this solution which offers significant time savings and efficiencies for staff in Legal. Procurement Board meet regularly.	<p><i>1i. Procurement, contract management and asset management expertise is limited across the authority and this is to be reviewed under the TaSF programme. 1ii. Procurement Board monitoring implications of the new UK Public Contract Regulations 2015 and implementation of the Local Government Transparency Code requirements. Guidance Notes to be issued in due course.</i></p> <p><i>2. Measures to enhance horticultural expertise within Streetscene are being developed in order to enable effective management of the Grounds Maintenance contract.</i></p>	MAT DCX (TC)/ PS*	Requires Monitoring 31ST October 2015 *O	<p>1i. Management Team has considered expertise and resources in these areas. Additional resource has been allocated to Asset Management. The Corporate Risk Management Group will continue to monitor. MAT are reviewing through TaSF and organisational restructures.</p> <p>1ii. Ongoing monitoring of legislative changes by the Procurement Board. The Principal Solicitor will be issuing new guidance notes at a future Managers Briefing on the public sector and EU procurement regulations changes.</p>
	Financial loss/poor vfm as a result of poor contract management. Reliance on Legal for support on tendering processes/appointment of Contractors.				DCX (LO)	Requires Monitoring 31st October 2015 *O	2. The Head of Streetscene provided an update at the June Audit Committee. The Royal Horticultural Society Distance Learning course is providing valuable information to the Head of Streetscene which is being fed back to Neighborhood Officers who inspect the parks and open spaces. An inspection rota is now being carried out with the key elements of the grounds maintenance contract being monitored and recorded.

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				3. MAT will monitor the appointment of consultants and contractors for the Council's projects including Town Centre, Knowle Green and other initiatives to ensure full compliance with governance requirements	MAT	Requires Monitoring	3. MAT are monitoring. See also 1ii above.
	15.1 Pressures on Housing Service as a result of economic climate and welfare reforms including changes in government policy to restrict housing benefit. Introduction of Universal Credit may lead to staff retention issues. Loss of Housing Benefit subsidy and uncertainty over recovery of outstanding debt.	3	Service Heads/ MAT/Members are aware of risks. Working groups established to deal with changes. The authority faces some challenges in managing the loss of £500k per annum in subsidy (recovery of Housing Benefit overpayments) which will be fully realised if the roll out of Universal Credit is completed in 2017/18. This loss of subsidy may be spread over a longer period of time as completion of Universal Credit roll out slips. Accountancy have factored into outline budget projections and currently assume phase out by 2017-18. The first year's impact was reflected in the 2014/15 budget. There is currently £2.3m of outstanding Housing Benefit overpayment debt in the Council's accounts. This is being recovered, albeit repayments are often small due to Housing Benefit regulations. Accountancy to confirm the bad debt provision for the 2014/15 accounts. Cabinet has received updates on Welfare Reforms. This includes a suggested approach to the use of discretionary housing payments. Officers and A2D have been working with families affected by the benefit cap.	1. Service Heads/MAT to monitor staffing and other resource implications as appropriate. 2. The Corporate Debt Group have considered further measures to address the increasing level of Housing Benefit overpayments and Bed and Breakfast arrears, with the aim of improving recovery of these debts.	MAT / Joint Heads of H & IL*	Requires Monitoring	There is a continual increase of households in bed and breakfast (with the added issue of overspend on the bed and breakfast budget) and the lack of resources to discharge duty. An "Advisor" was contracted to look at all options for the borough to invest in as well as look at good practice elsewhere. A number of options are now being pursued following Cabinet support for this approach. MAT are supportive of quickly filling any posts which become vacant in the Housing Options team and have agreed to a mini-restructure. This includes increasing resource for the Housing Visiting and Finance officer to assist in managing bed and breakfast debts.
	15.2 Introduction of Council Tax Support scheme has impacted on resources.	3	The council tax support scheme has generated a significant number of small council tax debts, which are difficult and time consuming to recover, impacting on resources. Recovery policy applied.	2. Service Heads/MAT to monitor staffing and other resource implications as appropriate.	DCX (TC)	Ongoing monitoring	CTS claimants have a lower collection rate of 35.7% (32.8%) compared to 45.4% overall and recovery is continuing across all areas. The temporary part time recovery assistant has now been made permanent to ensure that this area of collection continues to improve when compared to previous years



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	16. Poor partnership governance arrangements	3	Partnership governance policy. Significant partnerships identified. Overview and scrutiny committee to periodically review partnerships. Insurance arrangements in place		MAT	Ongoing monitoring	<b>Awaiting Update from the Head of CG</b>
	17. Uncertainty over economic growth and supplier failure, impacting on: • Delivery of contracts and services • Business Rate income. SBC now bears a significant share of any losses on collection.	3	Financial Services monitor the financial media in relation to larger companies and critical commercial partners. Recovery and inspection of business properties is being strengthened to maximise collection/minimise losses for the Council	<i>Impact of new Business Rate arrangements on Council finances is under ongoing review.</i>	DCX (TC) *	Requires monitoring	Some of the DCLG Fraud fund has been allocated to dealing with Business Rate avoidance and evasion cases during 2015/16. As part of Spelthorne joining the Surrey Business Rates pool for 2015-16 the Council are participating in enhanced monitoring and data sharing with the other four participating councils. A Business Rate Subgroup has been formed with agreed terms of reference focusing on Group Training, specialist advice, cross boundary prosecutions and legal advice. Spelthorne will be submitting two cases to external experts for advice on how to proceed against them.
			Economic Development Strategy is reviewed every three years. Communication of the vision, proposed actions and measures of success is taking place. Reporting to the Cabinet Member with responsibility for Economic Development to advise on progress with action plans.	<i>Economic development is a Council priority and growth will impact on business rate income - this is under ongoing review.</i>	DCX (TC) * CS & EDO*	Requires monitoring	LGA funded adviser produced 3 reports on Key Account Management, Inward Investment and Visitor Numbers, with a number of recommendations having resourcing implications. This has been considered as part of 15-16 budget process. A growth bid has been approved as follows: - Inward Investment - £5k Stimulate economic Activity - £10k Magna Carta - £8k Staines-upon-Thames BID £32k SBF / Miscellaneous £16.5k Total - £71.5k  Regular monitoring updates on delivery of the Strategy is now provided to the Cabinet member for Economic Development.  The creation of a new post of Economic Development Officer has now also been approved. This post including on-costs is £29.4k This gives a total of £100.9k



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	18. Failure to comply with employment legislation or statutory duty leading to possible compensation (unlimited), damage to reputation, Legal costs and significant officer time.	3	Human Resources (HR) identify changes in employment legislation, provide guidance and training to ensure compliance. Equality and Diversity working group and training provided to all staff.		MAT/ Service Heads/ Head of HR*	Ongoing monitoring	Professional HR support will continue to be available.
	19. Failure to comply with statutory duty / adhere to Safeguarding Policy leading to death or injury to child or vulnerable adult, legal action and reputational damage. Failure by County to address Spelthorne referrals relating to vulnerable children/adults.	3	Safeguarding policies and procedures. Staff and Member training. All referrals to Surrey County Council should be reported to a nominated Spelthorne Officer. Regular meetings held with Surrey County Council and consultation with the Surrey Safeguarding Children's Board (SSCB). Annual Section 11 audit. The Children's Safeguarding and Adults at Risk Strategies were approved by Cabinet October 2013. From April 2015 the 2014 Care Act came into effect and the Council has statutory responsibility for safeguarding adults.	<i>In view of Councils taking on statutory responsibility for safeguarding adults, Independent Living Managers have reviewed any changes required to Adults at Risk policies and processes. Staff training needs to be assessed and revised policies/processes publicised in due course.</i>	DCX (TC)/LS/JL & NR*	Ongoing monitoring	The Independent Living Managers have updated the policy and process for Safeguarding Adults, which is being reviewed by the Surrey Safeguarding and Adult Social Care Team.
	20. Service delivery and planning difficulties due to reduction in Revenue Support Grant - 30 % reduction in spending / increase in income	3	Long term strategic/financial planning. Corporate Plan / priorities reviewed. Member engagement "Towards a Sustainable Future" programme identified potential savings and additional sources of income.	<i>Towards a sustainable future programme to be delivered</i>	MAT	Key milestone dates to be agreed with Cabinet	TaSF programme brief has been completed and will be presented to MAT in September. A TaSF page has been set up on Spelnet to keep all staff informed of the progress of the programme split into Structural
<i>Identify alternative service delivery models and prepare business cases. Assess the impact on in-house Services.</i>				Service Heads	30 September 2015 *R	Service Heads are preparing business cases for alternative service delivery models, to be reviewed by Management Team. The Public Sector Mutual Applied Resilience Service to take effect from 1 September 2015. Meetings held to assess the impact of alternative service delivery models on existing in-house Services.	
	21. Reduction in service delivery and possible loss of internal control as a result of savings required to balance budget	3	Management is responsible for maintaining key services and internal controls regardless of resource levels. Any savings offered will be accompanied with summary of any associated risks.		Service Heads/ MAT	Ongoing monitoring	

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	22. Poor return on long term investments /investments insecure in current climate	3	Treasury Management Strategy approved annually by Members. Aim to select counter parties of the highest credit quality; credit ratings monitored closely. Council's investments managed internally in consultation with Arlingclose. Quarterly meetings and conference calls held with Arlingclose. Deputy Chief Executive, Terry Collier and Portfolio Holder, Councillor Evans are involved in key decisions. Use a range of credit ratings and criteria recommended by Arlingclose. Regular monitoring ,reporting of investment portfolio and returns achieved.		DCX (TC) *	Ongoing monitoring	Outturn income achieved for 2014-15 was £200k better than budget with average rate of 5% achieved on core pooled investments (which also have achieved cumulative capital growth of £1.3m). Accountancy are continuously monitoring risk and seek to spread risk through a diversified portfolio.
	23. Failure to collect/recover income due, resulting in losses to the authority.	3	Corporate Debt Officer Group meet periodically. Corporate Recovery Policy. Recovery policies also exist for specific areas such as Council Tax, NNDR, Sundry Debts etc. Debt collection statistics produced and analysed. Budget Monitoring identifies any shortfall in income. Accountancy report to Management Team and Members on significant variances and comparisons with previous year.	<i>Recovery arrangements for significant debts/other income streams and amounts outstanding are being periodically monitored through the Corporate Debt group.</i>	Service Heads/ DCX, TC/HOCS		The Corporate Debt Group have recently considered further measures to assist in the recovery of increasing levels of Housing Benefit overpayments (currently £2.3m) and Bed and Breakfast arrears. (See also risk category 15 - Housing above). Significant amounts outstanding for Penalty Charge Notices under Parking Income, and relevant Officers are liaising on this area. For some other income streams corporate debt recovery processes appear to stop or are handed back to Services. This has been discussed at the Corporate Debt Group with a view to strengthening processes.
	24. Changes arising from election of new Members, particularly relating to current priorities and delivery of projects	3	Corporate Plan and priorities will need to be reviewed following new Council Members. The impact on ongoing projects, resources and Service Planning will need to be assessed.		MAT	Ongoing monitoring	DCX (LO) liaising with the Leader.

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	25. Increased risk of fraud / theft due to economic climate resulting in financial losses and damage to reputation of authority. Housing tenancy fraud reduces availability of social housing.	3	Corporate Policies including Confidential Reporting Code (Whistle blowing), Anti-fraud, Bribery and Corruption Strategy, Proceeds of Crime and Anti-Money Laundering, Code of Conduct including rules relating to gifts and hospitality, and declaration of interest. Staff are reminded about governance policies during appraisal process. Fraud awareness training for staff and Members and leaflet issued. Implications of Bribery Act (July 2010) considered by services. Various policies and procedures such as Financial Regulations and Contract Standing Orders, management checks, segregation of duties, reconciliation processes for financial systems and IT Security measures. Surrey Counter Fraud Board and sub-groups for Housing and Business Rates attended by representatives from Surrey Councils.	<i>To ensure that the DCLG fraud fund is used appropriately and that each initiative is receiving a payback.</i>	Service Heads/ MAT/IAM/Head of CS/Head of H&IL	Requires monitoring 30th November 2015 *O	Spelthorne have received £60k of the DCLG fraud fund (up to March 2016), which is being used to assist in the detection and prevention of non benefit fraud, focusing on housing, (homeless and housing applications,tenancy fraud, right to buy applications) business rates (evasion and avoidance),and Corporate/miscellaneous frauds. There are agreed targets. Audit Services are coordinating progress in terms of payback and submitting quarterly fraud returns/details of the number of cases under investigation to Surrey County Council. Officers meet regularly to review progress, assess arrangements to refer suspect fraud cases for investigation and decide further action. Audit Services are reviewing student exemptions applied to Council Tax accounts to assess validity.

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**\*KEY TO RAG RATING**

	Actions outstanding
	Partially actioned
	Completed/Ongoing monitoring

**\*KEY TO TARGET DATES**

\* O = Original target date for assigned action

\* R = Revised target date for assigned action

**\*KEY TO OFFICERS**

MAT - Management Team

Head of CS - Head of Customer Services, Linda Norman

Head of CG – Head of Corporate Governance, Michael Graham

Head of ICT – Helen Dunn

DCX (TC) – Terry Collier

Health and Safety Officer – Stuart Mann

Head of S & L – Head of Sustainability and Leisure Services, Sandy Muirhead

Head of SS – Head of Streetscene, Jackie Taylor

DCX (LO) – Lee O'Neil

SEHM - Senior Environmental Health Manager, Tracey Wilmott-French

PS - Principal Solicitor, Victoria Statham

STC & RM - Staines Town Centre and Regeneration Manager, Heather Morgan

Head of AM & OS – Head of Asset Management and Office Services, Dave Phillips

Head of HR – Head of Human Resources, Jan Hunt

CM- Contract Managers

Joint Heads of H & IL – Joint Heads of Housing and Independent Living, Deborah Ashman and Karen Sinclair

LSM - Leisure Services Manager, Lisa Stonehouse

RRO – Risk and Resilience Officer, Nick Moon

CS & EDO – Community Safety and Economic Development Officer, Keith McGroary

IAM - Internal Audit Manager, Punita Talwar