

**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 March 2016

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>1i. Risk assessments for all Services are to be reviewed, and updated details entered onto the SHE system. 1ii. Annual checklist and instructions for Managers being prepared. 1iii. Whilst the risks associated with not implementing a robust Inspection regime across the authority have been accepted by Management Team, this risk/issue should be subject to periodical review.</i>	MAT/ All Service Heads HSIRM*	30 April 2016 *R Requires Monitoring	Internal Audit cross cutting review of Health and Safety carried out in November 2015. The Health and Safety Manager is preparing an annual checklist and instructions for Managers that will facilitate in addressing the internal audit recommendations (draft audit report issued Dec 2015). One of the main issues highlighted in the audit is that due to resourcing limitations a robust system of inspections has not been implemented by Managers across the whole of the Authority, potentially exposing the Authority to claims both internally and externally. The absence of Inspections in certain areas and the associated risks have been accepted by Management Team.
	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*	30 May 2016 *R Requires Monitoring	Contaminated land risk assessment reviewed by TWF and remains valid at 01/02/2016. This risk assessment is due for formal review in November 2016.

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

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	3. Disaster- major in borough, e.g. flooding, resulting in significant strain on council services (eg homelessness).	4	Corporate Emergency Plan updated January 2016. Multi- agency flood plan completed December 2015. Membership of Local Resilience Forum (LRF). Regular testing of Emergency Assistance Centre plan. Borough Emergency Centre Plans.Suggested improvements to the Business Emergency Centre (BEC) partially implemented due to plans to vacate Knowle Green. Incident management training and exercising. Emergency Response requirements remain the responsibility of the authority.Contract agreement in place with Applied Resilience, with increased resilience and support for Emergency Planning.	3. <i>The Head of Sustainability and Leisure to monitor the agreement with Applied Resilience to ensure satisfactory outcomes and highlight any issues requiring attention.</i>	CX (RT)/ HOSL*	Ongoing Monitoring	Previous action implemented - the Corporate Emergency Plan was updated in January 2016 and the multi- agency flood plan completed in December 2015. Function being delivered via the Mutual Applied Resilience Service. The Head of Sustainability and Leisure meets monthly with Applied Resilience to monitor outcomes. The two DCX's have attended Multi-Agency Gold Command Courses.
	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 have been 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	30 April 2016 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 due to be prepared for 2016/17, taking into account the new Corporate Plan and priorities. They will be made available on Spelnet, enabling other services to assess the likely impact.</i>	Service Heads/ MAT	30 April 2016 *O Requires Monitoring	
	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 Register. 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	Ongoing 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. Proposed restructure promotes greater links between Planning, Asset Management and Economic Development.

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

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				<p><i>1ii Management team to consider limited capacity and revenue implications prior to approving additional / new projects.</i></p> <p><i>1iii. The Projects Assurance Officer to promote the importance of following correct procurement processes in delivering projects.</i></p>	MAT	Ongoing monitoring	Approx. 30 projects are currently being tracked through the Project Office and the TaSF programme. Collation of corporate project register by Service areas for 2015/16. The Project Assurance Officer will be focussing on procurement in the projects process during the coming months.
			<p>2. Staines upon Thames - The Head of Planning and Housing strategy has been appointed on a full time secondment as the Staines upon Thames regeneration manager with support from consultants. 5 work streams have been fully defined and documented. A conditional agreement was signed with the preferred developer for the Bridge Street site on 31 July 2015. The money the Council will receive is less than initially projected.</p>	<p><i>2. A number of procedural stages are being progressed associated with the sale of the Bridge Street site.</i></p>	STC & RM*	31st March 2016 *O Requires monitoring	Head of Planning secondment extended to end of May. Planning application for Brtdge Street being considered at 9th March Planning Committee. The money from the sale of the Bridge Street site should be forthcoming mid/end July 2016
			<p>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. Mapping of the individual projects under the three work streams. MAT have assigned resources to the main areas of the TaSF programme, and projects are underway. The TaSF Programme Support Officer coordinates all three main work streams under the TaSF programme, reporting directly to the Head of Customer Services who continues to oversee the direction of the programme. The Programme Brief has been approved by Cabinet and Overview and Scrutiny Committee. Review completed of document retention and electronic data management systems (see section 7).</p>	<p><i>3i. High level overview of the three work streams is underway to ensure cohesion and coordination.</i></p>	MAT	30 April 2016 * O Requires monitoring	A slight decrease in the the number of TaSF projects with a green RAG rating mainly due to external factors causing delays. TaSF structural review underway with the recruitment and selection process planned to take place shortly.

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

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	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). Removal of the Microsoft Outlook 'Auto-Complete' feature recommended.	<i>Information Governance Group to pursue action plan to ensure information assets are identified and managed.</i>	Head of CG *	31 May 2016 R* Requires Monitoring	The Information Governance Group now meet quarterly to discuss the necessary steps to be taken to address outstanding actions. MAT and Cabinet built into 16-17 budget growth for an Information Governance Officer to enable resource to be in place in to address the action plan.
	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 May 2016 R* Requires Monitoring	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. All Baseline Personnel Security Standard checks completed. CoCo re-accreditation achieved in January 2016. The Cabinet Office has increased security requirements due to the implementation of the Public Service Network (PSN).		Head of ICT *	Ongoing monitoring	Annual health check and security penetration test completed. CoCo submission to Cabinet Office in December 2015 and re-accreditation. Successful certification of Public Service Network (PSN) compliance gained on 16 January 2016 which is valid until 15 January 2017.

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

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	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 currently. 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. Contract agreement in place with Applied Resilience from September 2015 , with increased resilience and support for Business Continuity Planning (full time officer assigned). Updated staff contacts list.	<p><i>9i. Guidance to Services to update and test their Business Continuity plans will be a priority under the new service delivery model.</i></p> <p><i>9ii. The Head of Sustainability and Leisure is monitoring the agreement with Applied Resilience to ensure business continuity is delivered. 9iii. Business Continuity Policy to be updated.</i></p>	Service Heads/MAT/ Head of S & L *	30 April 2016 (R*). Requires Monitoring	Function being delivered via the Mutual Applied Resilience Service. The Head of Sustainability and Leisure meets monthly with Applied Resilience to monitor outcomes. Applied resilience are working closely with Services to update business impact assessments and following this task they will provide corporate steer and guidance on preparing business continuity plans and conducting testing exercises.
	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 have reviewed structures as part of the budget saving exercise, and consideration is being given to resilience and succession planning arrangements.</i>	Service Heads/ MAT	Ongoing monitoring	Training has been provided to support staff during time of organisational change and Human Resources have asked Managers how they can be supported further.

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

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	11. Failure in service delivery due to reduced capacity and increasing demands from the community; prolonged staff vacancies due to inability to recruit; posts advertised as temporary may be adversely impacting on the Council's ability to recruit. 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. Posts advertised with Surrey Jobs which also feeds into a wider network of job sites. Specialist websites and publications are also used as necessary to advertise posts. Human Resources have highlighted posts where recruitment has been challenging. Recruitment and Retention Policies requested from other authorities.	<p>11i. <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></p> <p>11ii. <i>Human Resources to monitor the effectiveness of proposed changes to recruitment and selection methods, in collaboration with Services.</i></p> <p>11iii. <i>Human Resources are liaising with other authorities regarding their recruitment and retention policies, with a view to sharing best practice.</i></p>	Service Heads/ MAT/HRM	31 May 2016 * O Requires monitoring	MAT maintaining under review Towards a Sustainable Future (TSF) should help to address service levels/requirements and capacity issues. Ongoing recruitment problems in a number of areas despite incentives offered, for example, Housing, Environmental Health and Customer Services. This ultimately impairs Service delivery as well as having a consequential negative effect on other Services. There are proposals to target students and university graduates for certain roles and further consideration is being given to where posts are advertised.
	12. Low morale as a result of increasing service demand, lack of staff & finance and ongoing uncertainty due to delay in finalising organisational review/restructure/allocating positions. Increased turnover, high staff stress levels, 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, communications, performance management systems, appraisals, one to one's, team meetings, performance clinics, staff meetings. Stress audit conducted in Housing. The Human Resources Manager advises MAT as appropriate. Planned TaSF Senior management restructure agreed by Members in February 2016.	<p>12i. <i>Management Team to keep under review, particularly in light of 'Towards a Sustainable Future'.</i></p> <p>12ii. <i>The recruitment process to the new Group Head positions is due to commence.</i></p> <p>12iii. <i>A peer review took place January 2014 and an action plan has been developed.</i></p>	MAT	31 May 2016 * O Requires monitoring	MAT maintaining under review. There is an ongoing risk of low morale and increased turnover during current times of uncertainty which MAT acknowledge. The TaSF Member task group have agreed to proceed with the planned TaSF Senior Management restructure, which has been on hold for the last few months. The recruitment process to the new Group Head positions will start shortly.
					DCX (LO)	30 April 2016 R* Requires Monitoring	An action plan has been produced by Management Team in consultation with the Leader, which is being progressed.

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

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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 . Induction programme delivered for new councillors during 2015 including briefing on roles and responsibilities, financial position, delivering services and current key issues.	<i>The Council's Code of Corporate Governance is to be reviewed in 2016/17</i>	MAT	30 June 2016 R* Requires Monitoring	The review of the code of Corporate Governance is currently outstanding.
	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. Financial loss/poor vfm as a result of poor contract management. Reliance on Legal for support on tendering processes/appointment of Contractors.	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.	<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. 1iii. Leisure centre Contract ends 2021 so investigating options for replacement service.</i>	MAT DCX (TC)/ PS*	31 May 2016 *R Requires Monitoring	1i. Management Team has considered expertise and resources in these areas. Additional resource has been allocated to Asset Management. MAT are reviewing through TaSF and organisational restructures. 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 ( <b>awaiting update from PS</b> ). 1iii. Officers reported to Overview and Scrutiny Committee in January 2016 on the performance of significant contracts.

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

RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
				<i>2. 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</i>	MAT	31 May 2016 *R Requires Monitoring	2. MAT are monitoring.
	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. London Boroughs increased use of Spelthorne properties. Local Housing Allowance limited. A2D rents unaffordable. Insufficient affordable properties being built. Benefit Cap may effect up to 500 families.	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 2018/19. There is currently £2m 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. Cabinet has received updates on Welfare Reforms. This includes a suggested approach to the use of discretionary housing payments. Strategic Housing Group. Officers and A2D have been working with families affected by the benefit cap. Housing Company being set up. Close working with private landlords. New Landlord Guarantee scheme.	<i>15.1 i. 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 . 15.1.ii. A model for the strategic way forward in delivering the Housing function has been drafted and is to be discussed/agreed.</i>	MAT / Joint Heads of H & IL*	31 May 2016 Requires Monitoring	There is a continual increase (although has eased off slightly in the last few months) 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. A number of options are now being pursued and MAT and the Leader are supportive of this approach. Cabinet support will be requested. Projects commenced to ensure strategies are followed. A model for the strategic way forward has been drafted. The Corporate Debt Group are appointing a Debt Recovery Consultant to coach and train officers dealing with the recovery of Housing Benefit Overpayments, Bed and Breakfast arrears and other 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.	<i>2. Service Heads/MAT to monitor staffing and other resource implications as appropriate.</i>	DCX (TC)	Ongoing monitoring	Although CTS collection rates are still lower than overall collection rates, with the introduction of extra resources within recovery, the recovery rate has improved when compared to previous year. Collection rate for CTS as at 31.01.16 is 77.5% compared to 73%



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

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	16. Poor partnership governance arrangements	3	Partnership governance policy. Significant partnerships identified. Insurance arrangements in place	16i. <i>The Partnership Governance policy is due for review.</i>	MAT	30 June 2016 * O Requires monitoring	
	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. DCLG Fraud funding for dealing with Business Rate avoidance and evasion cases during 2015/16. Spelthorne are a member of the Surrey Business Rates pool for 2015-16 enabling enhanced monitoring and data sharing with the other four participating councils. Business Rates Subgroup formed with agreed terms of reference focusing on Group Training, specialist advice, cross boundary prosecutions and legal advice.	17i. <i>Impact of new Business Rate arrangements on Council finances is under ongoing review.</i> 17ii. <i>Business Rates project to be pursued.</i>	DCX (TC)/Head of CS *	30 June 2016 * O Requires monitoring	A service level project has been initiated to focus on 3 areas of business rates: Increase tax base Reduce Business Rate avoidance Increase admin grant  A growth bid has been submitted and accepted by Management team to progress this project through 2016/17 .
			Economic Development Strategy is reviewed every three years. Communication of the vision, proposed actions and measures of success is taking place. Regular reporting to the Cabinet Member with responsibility for Economic Development to advise on progress with action plans and delivery of the strategy. 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 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.	17iii. <i>Economic development is a Council priority and growth will impact on business rate income - this is under ongoing review.</i> 17.iv. <i>The 3 year economic assessment &amp; strategy is currently being updated, due for Cabinet submission/approval by December 2016.</i>	DCX (TC) * CS & EDO*	31 October 2016* Requires monitoring	The 3 year economic assessment & strategy is currently being refreshed and will be available to seek Cabinet approval in December 2016. A Business Improvement District is under development for Staines-upon-Thames. Welcome packs for new businesses as well as property agents have been developed. A CRM is being developed to track Spelthorne's top 20 businesses with regards to key account management. A Commercial Property Agents/Developers event is being planned for March 2016 to help focus inward investment interests in Staines. A bid has been submitted to Surrey CC for £350k with regards to support for secondary town centres; £350k match funding from SBC has already been approved

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

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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	Council has statutory responsibility for safeguarding children and Adults. 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 in October 2013. The Children's policy is currently being updated. Independent Living Managers have reviewed any changes required to Adults at Risk policies and processes.	19i. <i>The Leisure Services Manager to review changes required to the Children's Safeguarding policy, particularly with regards to child sexual exploitation.</i> 19ii. <i>Further liaison with Surrey County Council is necessary in order to strengthen the feedback process relating to children's referrals.</i> 19iii. <i>Staff training needs to be assessed and revised policies/processes publicised in due course.</i> 19iii. <i>To seek clarification over responsibility for dealing with safeguarding issues for cross border referrals (where families located out of Surrey).</i>	DCX (TC)/LSM/ILM/ JOINT HEADS OF H & IL *	30 April 2016 * O Requires monitoring	Standard policy and process for Safeguarding Adults being prepared for all districts and boroughs. Concerns remain about threshold of acceptance and follow up/feedback regarding children's referrals. There are also issues where families are placed out of Surrey, in terms of liaison and responsibility.
	20. Service delivery and planning difficulties due to reduction in Revenue Support Grant and therefore reduction in spending	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	31 August 2016 * O Requires ongoing monitoring	TaSF programme to be progressed, including Structural Review, Knowle Green relocation and Income Generation (use of Assets).
<i>Identify alternative service delivery models and prepare business cases. Assess the impact on in-house Services.</i>				Service Heads	31 May 2016 *R Requires monitoring	Some business cases for alternative service delivery models have been submitted, whilst others (Environmental Health) were put on hold for legitimate reasons, but are being pursued. The Public Sector Mutual Applied Resilience Service took effect from 1 September 2015. Meetings held to assess the impact of alternative service delivery models on existing in-house Services.	

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

RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
	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	
	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	The income target for 2015/16 increased by £300k to £635k to reflect the significant capital receipt the Council was expecting to receive during the year. Despite the delay in this being received the estimated outturn position for 2015/16 at the end of December 2015 was £621k, with careful management and utilisation of the cash balances available to maximise return. The core pooled investment funds have been enhanced in year and continue to perform well, both in terms of interest earnings and capital growth. Accountancy continue to closely monitor risk, the global economic market and maintaining a diversified portfolio.

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

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	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. The Corporate Debt Group, chaired by the Deputy Chief Executive (Terry Collier) continue to meet monthly and a wider representation from Services is being encouraged. The Deputy Chief Executive in his capacity as Section 151 Officer is taking the lead in coordinating outstanding actions with the Corporate Debt Group such as strengthening recovery procedures for sundry debts to reflect Spelthorne's recovery policy wherever possible and practical, with less intervention from Services; perusal of older debts by the Recovery team and monitoring by Management. Arrears figures at the Corporate Debt Group are reviewed, together with discussions about cost effectiveness of pursuing different types of debts.	23i. <i>Recovery arrangements for significant debts/other income streams and amounts outstanding continue to be periodically monitored through the Corporate Debt group.</i> 23ii. <i>External Consultant to coach and train staff responsible for debt recovery with a view to improving their skills and enhancing recovery rates.</i>	Service Heads/ DCX, TC/HOCS		For some 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. The Corporate Debt Group are appointing a Debt Recovery Consultant to coach and train officers dealing with the recovery of Housing Benefit Overpayments, Bed and Breakfast arrears, Sundry debts, Customer Services (Business rates and Council Tax) and other debts.

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

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	24. 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. Refresher fraud awareness training for staff and Members is due. 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. Spelthorne have received £60k of the DCLG fraud fund (up to June 2016), 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. Agreed targets. Audit Services are coordinating progress in terms of payback and submitting quarterly fraud returns to Surrey CC.	24i. To ensure that the DCLG fraud fund is used appropriately and that each initiative is receiving a payback. 24ii. Prepare business case for a Corporate Fraud resource/function. 24iii. To arrange Fraud and anti-bribery and corruption training for all staff and Members.	Service Heads/ MAT/IAM/Head of CS/Head of H&IL IAM IAM	Requires monitoring 30 June 2016 *R	Audit Services and Investigating Officers attend specialist Fraud groups with Surrey Partners which are very useful forums for sharing skills, knowledge and approaches to tackling fraud/ business rate avoidance/evasion cases. Data Intelligence systems such as Trace IQ are also being used to verify details and investigate fraud. The Internal Audit Manager continues to meet periodically with the Investigating Officers, Housing and Business Rates teams to review progress. It is reassuring that a robust internal fraud referral process/system has been implemented within Housing . As part of a Surrey wide publicity Campaign to tackle Social Housing Fraud, a press release was issued in November 2015 and various communication channels have been used to promote the message/display the poster. A fraud hotline has also been set up within Housing. As at 31st December 2015 the cumulative payback//return in tackling non-benefit fraud equates to £394k. This is well in excess of the original £60K DCLG fraud funding allocated to Spelthorne.

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

RAG	RISK / CONSEQUENCES	LEVEL OF RISK	CONTROLS	OUTSTANDING ACTIONS	RISK OWNERSHIP	ACTION DATE	PROGRESS / COMMENTS
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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

HSIRM - Health and Safety, Insurance and Risk Manager – Stuart Mann

Head of S &amp; 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 &amp; RM - Staines Town Centre and Regeneration Manager, Heather Morgan

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

HRM – Human Resources Manager, Debbie O'Sullivan

CM- Contract Managers

Joint Heads of H &amp; 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 &amp; EDO – Community Safety and Economic Development Officer, Keith McGroary

IAM - Internal Audit Manager, Punita Talwar