

To:
All members of the
Corporate Policy and Resources
Committee

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Date: 25 November 2022

Supplementary Agenda

Corporate Policy and Resources Committee - Monday, 28 November 2022

Dear Councillor

I enclose the following items which were marked 'to follow' on the agenda for the Corporate Policy and Resources Committee meeting to be held on Monday, 28 November 2022:

- | | | |
|------------|--|----------------|
| 8. | Corporate Risk Management | 3 - 48 |
| | Report to follow. | |
| 14. | Review of the Community Lettings Policy | 49 - 84 |
| | Report to follow | |

Yours sincerely

Karen Wyeth
Corporate Governance

To the members of the Corporate Policy and Resources Committee

Councillors:

J.R. Boughtflower (Chairman)	R.O. Barratt	L. E. Nichols
A.J. Mitchell (Vice-Chairman)	J.T.F. Doran	R.J. Noble

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V. Siva

Substitute Members:

Councillors: C. Bateson, S. Buttar, J. Button, N.J. Gething,
M. Gibson, H. Harvey, T. Lagden, V.J. Leighton,
D. Saliagopoulos, J. Vinson and S.J Whitmore

Corporate Policy and Resources Committee



28 November 2022

Title	Corporate Risk Register (Corporate Risk Management)
Purpose of the report	To consider a recommendation from the Audit Committee
Report Author	Punita Talwar, Internal Audit Manager
Ward(s) Affected	All Wards
Exempt	No
Exemption Reason	N/A
Corporate Priority	<p>The Corporate Risk Register outlines significant strategic risks impacting the effective delivery of all corporate priorities (CARES).</p> <p>Community Affordable housing Recovery Environment Service delivery</p>
Recommendations	<p>The Corporate Policy and Resources Committee is asked to:</p> <p>Consider and note the significant strategic risks and issues highlighted in this report.</p>
Reason for Recommendation	<p>The Corporate Risk Register continues to ensure that the Council's most significant risks in relation to achievement of corporate priorities and objectives are identified, managed, monitored, and reported.</p> <p>Continued visibility and ownership of the risks and issues raised in this report is recommended across the Council due to the significant and wide-reaching implications. This will support improved coordination in addressing risks and implementing mitigating actions.</p>

1. Summary of the report

- 1.1 This report seeks to highlight significant strategic risks in delivering the Council priorities (CARES) and objectives, current actions to manage risks (these are defined as current control actions and current mitigating actions) as

well as any further mitigation measures underway set out in the separate Risk Action Plan.

- 1.2 The Corporate Risk Management Officer Group (officer led) meets three to four times a year, chaired by the Deputy Chief Executive (Chief Finance Officer). This forum provides an opportunity for officers to consider the risk register and identify any further corporate risks emerging or evolving.
- 1.3 As part of ongoing development work, the format and presentation of the Corporate Risk Register has been refreshed again with a view to making the content more visually appealing.
- 1.4 In response to comments raised by Corporate Policy and Resources Committee on 27 September, we are trialling a new approach which:
 - Introduces a numerical risk score (likelihood of risk occurrence x impact of risk should the risk event occur) for each broad risk category;
 - Provides a direction of travel for both the RAG status (i.e. assessed level of risk as plotted on the risk matrix at Appendix A), and numerical risk score.
 - In addition, an indicative future RAG status and indicative future risk score are being communicated. Section 2 below explains this new approach in more detail.

2. Key issues

- 2.1 In response to comments raised by Corporate policy and resources Committee on 27 September, we are trialling a new approach which introduces a risk score (likelihood of risk occurrence x impact of risk should the risk event occur) for each broad risk category, provides a direction of travel by referring to both the previous and current Red/Amber/green (RAG) rating, as well as previous and current risk score. Risks continue to be assessed as before taking account of current controls and current mitigations in place as this approach reflects the Council's risk management policy requirements and good practice. We have however broadened our approach, again taking on board Member feedback, and as part of this review introduce (trial) an indicative RAG status and indicative risk score to provide greater insight based on a future situation/scenario where all additional mitigating actions set out in the Risk Action Plan have been fully implemented by Risk Owners and Lead Officers. We welcome any further discussions from Members; however, this demonstrates how the Council's reporting of the Corporate Risk Register continues to evolve and develop.
- 2.2 The corporate management team and lead Committee hold collective ownership and accountability for ensuring these strategic corporate risks are effectively managed. In promoting greater visibility and ownership of the significant risks, the Committees team will ensure the register pack and key messages conveyed by the Internal Audit Manager are shared with Committee Chairs and Vice-Chairs as part of every reporting cycle, further to initial consideration by the Audit Committee.
- 2.3 The revised corporate risk register is set out at Appendix A and the Risk Action Plan at Appendix B.

- 2.4 Several risks on the corporate risk register continue to be significantly influenced by external factors, due to the economic crisis and macroeconomic environment (elevated inflationary pressures, increased rates of borrowing, high energy/fuel/food prices and the Cost-of-Living strain, likely recession) as well as the ongoing geopolitical uncertainty arising from the Ukraine crisis and China/US relations. Those risks are highlighted in blue to distinguish areas where risk mitigation measures may be limited in terms of actual outcomes due to externalities beyond the control of the council. Given all of this, it is important to recognise there are no simple fixes or solutions to many of the complex risks identified on the Council's Corporate Risk Register. A separate report on the impact and implications of wider externalities for the Council and its communities has been reported to the 24th November Audit Committee and currently remains a standing agenda item.
- 2.5 The Council endeavours to pursue local measures with a view to alleviating some of these significant externally driven risks and challenges (see para 2.4 above) whilst recognising the limitations, as well as progressing activities that may provide a more favourable opportunity to positively control.
- 2.6 The Council's most significant strategic risks to highlight are the risk categories that continue to be assessed as a red RAG rating (see Appendix A). This includes risk categories 1A (Housing – Development Targets), 1B (Housing – affordable provision), 4 (Finance and Communities) and 7 (Corporate Capacity/Resources/ Recruitment and Retention). Nonetheless it must be acknowledged that the nature of all risks on the Corporate Risk Register are significant due to their strategic impact on corporate priorities and therefore continued visibility and recognition remains important.
- 2.7 The register at Appendix A provides detailed information across all risk categories including current controls and current mitigations to alleviate and manage identified risks. The corresponding risk action plan attached at Appendix B highlights completed actions (green section), as well as 'work in progress' (white section) and 'continuous actions' (blue section). Two new actions have been added to the risk action plan as part of this review across sections 5 (Treasury Management – borrowing strategy) and 8 (Equality, Diversity and Inclusivity - strategy).
- 2.8 Key risks, issues and developments to highlight as part of the latest review of the Corporate Risk Register are set out below at 2.8 (a) to 2.8 (g).

(A)Housing – Development and targets –risk category 1a.

RAG rating (assessed risk level) retained as red (July) and (Nov)

Risk Score retained as 12 (July) and (Nov)

Any further movements in Direction of Travel after considering further mitigation set out in the Risk Action Plan? No – Maintained numerical risk score and RAG status

Viability assessments for property development schemes are being regularly updated to take account of accelerating costs arising from significant increases to interest rates (cost of borrowing) and construction inflation to determine ongoing financial viability. If schemes are no longer considered financially viable, this will significantly impact achievement of development targets, delivery of the Council's Housing programme via Knowle Green Estates (KGE) and both affordable, key worker and non-affordable housing

provision, impacting local communities and adding further pressure to Council services. Considering these challenges, several new mitigating actions such as grant funding are being explored in terms of options for reducing the amount of borrowing required to fund the Housing Delivery programme, and these will form part of a Paper going to an Extraordinary Council Meeting in January 2023. The detailed risk register at Appendix 1 provides more detail on the range of options proposed.

(B) Housing – Affordable – risk category 1b

RAG rating (assessed risk level) retained as red (July) and (Nov)

Risk Score retained as 12 (July) and (Nov)

Any further movements in Direction of Travel after considering further mitigation set out in the Risk Action Plan? No – Maintained numerical risk score and RAG status

Please refer to the issues highlighted at 2.7 (B) above as they are relevant for this section. In particular the £35m Property Acquisition scheme to purchase and manage readymade properties through Knowle Green Estates (KGE) in addressing housing need has been significantly impacted by increased borrowing rates. The Council is therefore discussing with Homes England potential for some grant support towards funding this scheme.

A new risk under this category relates to pressure from neighboring and London authorities placing households in the borough, often without the Councils' knowledge. This will lead to further reduction in Housing supply for local communities. The Housing Team have written to other Councils reminding them of their legal obligation to notify where placing households in the borough, but this will not necessarily reduce the likelihood of occurrence of such placements as the Council has no powers to prevent this.

A further new risk under this category relates to the Cost of Living crisis and rising interest rates, adding increased pressure to homeowners and landlords in repayment of mortgages as variable rates spiral. This may lead to landlords increasing rental charges presenting more homelessness cases (if rents cannot be afforded) with increased demand for social housing.

As part of managing the Council's housing register levels, a re-registration process will take place this winter in accordance with the new terms of the revised Allocation Policy to promote greater efficiency in the process.

(C) Economy –risk category 2

RAG rating (assessed risk level) moved from red (July) to amber (Nov)

Risk Score moved from 12 (July) to 9 (Nov)

Any further movements in Direction of Travel after considering further mitigation set out in the Risk Action Plan? No – Maintained numerical risk score and RAG status

The refreshed economic risks set out in the register including the macroeconomic environment, elevated inflationary pressures, Cost-of-Living

crisis, increased borrowing costs and market volatility continue to have a significant impact on Council operations, revenue streams and finances. There is of course the potential for increased level of business failures as a result of wider economic instability and the need to pass on increased costs to the consumer. This impacts economic prosperity of the borough and affects collections rates for business rate income, with reduced levels impacting finances and services available.

Whilst Council actions aim to support businesses and the local economy, these actions alone can only have a limited impact due to the overarching effects and long term uncertainty of the macroeconomic environment, market volatility and geo political factors over which the Council has incredibly little influence. The economic climate in terms of recession adds greater challenge and pressure going forward.

Whilst the national economic picture remains bleak, the measures that the Economic Development team have taken to influence Spelthorne's position in areas that the authority can exert some control and therefore to mitigate the impact on the borough has led to the overall assessed level of risk in this section as being currently rated as amber.

There are several controls and mitigation measures in place and being progressed. The final draft of the Economic Prosperity strategy (2023 – 2028) was considered by the Economic Development committee on 29 September 2022 and will go back to Committee on 12 January 2023 for final adoption. The strategy incorporates a detailed action plan detailing performance management measures in anticipating outcomes. Other measures include a Shared Prosperity Fund Investment Plan submitted to government in August 2022 highlighting local priorities and projects to assist with economic regeneration, a Town Centre strategy, and accelerated progression of the Shared Prosperity Fund scheme. In addition there have been several measures to improve resilience, support and training for local businesses, as well as promoting accessibility into employment. There is also fortnightly monitoring of Business Rates and Council Tax collection rates as part of monitoring the effect of current pressures such as the Cost-of-Living crisis on the collection fund.

(D) Finance and Communities – risk category 4

RAG rating (assessed risk level) retained as red (July) and (Nov)

Risk Score retained as 12 (July) and (Nov)

Any further movements in Direction of Travel after considering further mitigation set out in the Risk Action Plan? No – Maintained numerical risk score and RAG status

The risks set out in this section including the impact of the macroeconomic environment, elevated inflationary pressures, Cost-of-Living crisis, significantly increased PWLB borrowing costs, market volatility and geopolitical factors continue to have a significant impact on the Council's budgetary position and finances, with the potential for adverse effects in

delivering sustainable services to communities. This coincides with greater demands placed on Councils Services as the significant financial constraints being felt across local businesses, communities and households continue to accelerate need for greater support from the Council.

We have previously reported measures being taken to reduce the budget deficit such as the Inflationary pressure contingency reserve to assist with the predicted budget deficit. In addition the Cashable Savings working group has already highlighted efficiency savings for the authority.

The Outline Budget report will provide updated medium term budget projections and set out options for refreshed medium term financial strategy. This to be considered alongside the refreshed Reserves Strategy.

(E) Sustainability and Climate Change

RAG rating (assessed risk level) moved from red (July) to amber (Nov)

Risk Score moved from 12 (July) to 9 (Nov)

Any further movements in Direction of Travel after considering further mitigation set out in the Risk Action Plan? No – Maintained numerical risk score and RAG status

There are several positive developments including completion of an action plan to move the Council towards net zero carbon emissions and commencement of training to raise awareness of climate change in promoting the need to adapt to change with further necessary rollout planned over the next year. Surrey County Council have finalised a strategy for tackling Climate Change – Greener Futures Delivery Plan, for application and consideration across boroughs and districts.

(F) Corporate Capacity, Resources, Recruitment and Retention

RAG rating (assessed risk level) retained as red (July) and (Nov)

Risk Score retained as 12 (July) and (Nov)

Any further movements in Direction of Travel after considering further mitigation set out in the Risk Action Plan? No – Maintained numerical risk score and RAG status

There are no key developments to report for this section. The significant risks prevail as we continue to face a challenging recruitment market and ongoing pressures on capacity across services, with those implications and adverse effects having been reported in extensive detail as part of the July reporting cycle (please refer to previous report).

(G) New risk categories – Risk Category 8 (Equality, Diversity and Inclusivity) & Risk Category 9 – Local government collaborative arrangements

Two new risk categories including relevant risks have been introduced and included as part of this review of the register. Please refer to risk categories 8 and 9 on the register for current controls and current mitigations. An action relating to producing an Equality, Diversity and Inclusivity strategy for the Council has been included in the Risk Action Plan, with a view to

complementing current practices by enabling a more robust approach to delivering and embedding essential principles, standards and requirements in promoting equal opportunities, diversity and inclusivity. This should be considered in the context of the Council's values and behavioral framework. As a first step the Council have set out a Statement of Intent and produced equality and diversity objectives.

3. Options analysis and proposal

- 3.1 The revised register at Appendix A is an accurate reflection of the high-level significant risks affecting the Authority, based on consultation with Managers and assessment of risk and controls in operation. Option 1 - To consider the contents of the Corporate Risk Register including any new or expanded risk categories, residual risks highlighted, current control actions, current mitigating actions and further mitigating actions set out in the Risk Action Plan for perusal. To take necessary actions going forward in response to the significant issues raised in this report and as detailed in the register. The risk action plan at Appendix B outlines the progress made on actions previously proposed and includes new actions which should be addressed as they impact effective delivery of corporate priorities and objectives, (preferred option); or
- 3.2 Option 2 - To recommend amendments to the Corporate Risk Register for consideration by the Corporate Risk Management Group.

4. Financial implications

- 4.1 As previously reported, there are major financial implications arising from some of the corporate risk categories discussed under section 2.5 above (1a, 1b, 2 and 4). Unless the Council addresses these issues, the Council will not be able to meet its statutory obligations or effectively deliver corporate priorities given the ongoing major inflationary pressures, increased cost of borrowing and significant adverse costs being generated from major development schemes and likely to worsen. Whilst many of the current challenges are influenced by wider externalities, some of the local measures being explored by the Council are highlighted under para 2.8.

5. Risk considerations

- 5.1 The Council's corporate and strategic risks impacting the achievement of corporate priorities, represent the most significant risks facing the authority. At Appendix A the broad strategic risk categories, specific risk considerations and implications are identified and articulated, as well as the current controls and current mitigation measures in place to manage these risks. Current controls are those actions intended to reduce the likelihood of occurrence of the risk event, whilst current mitigations are those actions intended to reduce the impact of a risk event should it occur. Taken together, current controls and current mitigating actions represent ways of managing risk, but we have continued to differentiate the terminology for purposes of clarity in response to previous direction from the Audit Committee in March 2022. A risk action plan is set out at Appendix B, ensuring a mechanism to capture risk related SMART actions and assign a lead officer with target dates to monitor their progress in further alleviating the identified risks. We will continue to consider over the course of time the robustness of SMART actions in response to

comments at CPRC on 27 September, however to reiterate commentary under para 2.4 above, there are no simple fixes or solutions to many of the complex risks identified on the Council's Corporate Risk Register.

6. Procurement considerations

- 6.1 Any procurement considerations relating to the risk categories on the register should be identified by the respective Risk Owners and lead officers and are likely to form part of separate reporting/communications.

7. Legal considerations

- 7.1 Some corporate risks facing the Council as identified on the register are driven or influenced by statutory requirements. For example risk category 1b Housing – Affordable Housing – (iii) specific risk refers to the implications of the Domestic Abuse Act for the Council in terms of suitable housing provision.

8. Other considerations

- 8.1 As previously reported, the LGA Corporate Peer review process (November 2022) will provide continued direction and insight in supporting the Council to address its significant strategic risks, considering overlapping themes around sustainability, developments, housing, supporting communities and finances.

9. Equality and Diversity

- 9.1 In response to discussions at the July Audit Committee meeting the register now incorporates Equality, Diversity and Inclusivity as a specific strategic risk category and sets out current controls and current mitigation measures in place, as well as any further risk mitigating actions for perusal (risk action plan).

10. Sustainability/Climate Change Implications

- 10.1 There are none separate to those in the Corporate Risk Register.

11. Timetable for implementation

- 11.1 The Risk Action Plan at Appendix B shows lead Council officers responsible for progressing actions, together with target timescales for implementation. The register is reviewed and updated three times a year in consultation with the corporate management team, Group Heads and Managers. It is coordinated, analysed, and reported by the Internal Audit Manager.

12. Contact

- 12.1 Internal Audit Manager, Punita Talwar. P.talwar@spelthorne.gov.uk
01784 446454
- 12.2 Please also refer to contact names provided for Risk owners/accountable officers as well as lead Officers who hold responsibility for implementing systems of internal control and mitigating actions to manage and alleviate the risks identified against each broad risk category.

Background papers: There are none.

Appendices:

Appendix A – Corporate Risk Register – this includes (i) level of assessed risk i.e. Red/Amber/Green - RAG status of each risk category (ii) Numerical Risk

scores – likelihood x impact
Appendix B – Risk Action Plan

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APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Risk Scoring Matrix(Plotted November 2022 for current RAG rating and current risk score in consultation with Officers)

This is the matrix that forms part of the risk management policy. We currently assess the level of each risk category by plotting them on this matrix to provide a traffic light RAG rating. We also determine a numerical risk score by multiplying likelihood and impact scores. Please also refer to the next page for further detail on the approach and criteria applied.

When assessing the Council's risks in terms of likelihood and impact, we take into account the national and global picture for wider externalities such as the macroeconomic environment and geopolitical factors. Spelthorne's operations remain influenced by these external challenges and pressures, as is the case for other Councils. Due to these externalities, there are many activities that the Council cannot directly control/mitigate or influence and continued recognition is important.

Red risks require prompt, planned management action **Amber** risks require planned management action **Green** risks are accepted risks

RC = Risk category on the detailed register e.g., RC2 = Risk Category 2 – Economy.

IMPACT	4 (Catastrophic)				
	3 (Major)			RC2 RC3 RC5 RC6 RC8 RC9	RC1a RC1b RC4 RC7
	2 (Medium)				
	1 (Trivial)				
		1 (Rare)	2 (Unlikely)	3 (Likely)	4 (Almost certain)
		Likelihood			

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How risks are scored:

We assess and score risks, with their current controls and current mitigations in place, for likelihood and impact as shown below:

Score	Impact	Likelihood (over 4 years or timescale deemed appropriate)
1	Trivial	Rare (once)
2	Medium	Unlikely (a few times / less than annual)
3	Major	Likely (several times / more than annual)
4	Catastrophic	Almost certain (many times a year)

Impact can be measured in many ways and will be specific to what you are assessing, but the most common are on objectives, finance, and reputation. We then plot the risk on the risk matrix model shown on the prior page to provide a RAG rating, to determine and prioritise the most significant risks for action. The risk action plan (refer to separate document) sets out how the authority is working towards further addressing and mitigating the risks.

KEY TO TERMINOLOGY (SEE RISK REGISTER BELOW)

- Risk is the chance of something happening or not happening that will affect the achievement of corporate priorities and business objectives.
- Controls and Mitigation - Any action taken to manage risk and increase the likelihood that established objectives will be achieved.
- *Control Actions - These are specific actions to reduce the likelihood of a risk event or occurrence.
- **Mitigating Actions - These are specific actions to reduce the impact of a risk event should it occur.

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Risk Category 1a - Housing – Development and Targets

Corporate Priority Areas	Ownership & Accountability for Risk	Lead Officer (s) Risk Category 1a
Supporting Communities Affordable Housing Service Delivery	Management Team CPRC - Development Sub-Committee	Group Head Assets (in the interim Deputy CX, Lee O'Neil) Group Head Regeneration and Growth (Heather Morgan) Deputy Chief Executive (Terry Collier)

Risk Descriptions

1a (i) The delays in decisions, which occurred due to a number of factors, appear to have been a key contributory cause in schemes not taking off/progressing, leading to rising overall costs, and risk of adverse financial position of the Council. The risk of adverse impact from past delay and any further delay has now increased in the context of rising interest rates and significant construction inflation.

1a (ii) Significantly increased interest rates from the Public Works Loan Board (PWLb) and rising inflationary pressures continue to significantly affect the financial viability of each project going forward, which could further impact delivery of housing schemes and development targets (both affordable and general housing).

1a (iii) Market volatility including exchange rate fluctuations are further exacerbating frequent uplift of scheme prices and costs (such as materials / fuel / transportation / labour) leading to delays in finalising contracts and necessitating new approaches to contract management such as open booking accounting. This may provide greater uncertainty in terms of longer-term contract costs and budgetary impact but will enable fair value to be demonstrated.

1a (iv) If overall direction for Knowle Green Estates (KGE) were to become unclear in the provision of the Council's Housing delivery programme this would present risks of failing to meet wider housing needs within the borough (beyond affordable housing), impacting effective delivery of housing development targets and increased payments to 3rd party landlords.

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*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
Approved timetable for adoption of Local Plan	Annual Housing Delivery Test Action Plan
Viability assessments for development schemes required to take account of accelerating costs to determine ongoing financial viability	Annual Planning Performance report
Exploring alternative options and funding opportunities in supporting delivery of development schemes (such as Grant funding)	Financial monitoring and reporting; quantifying the impact of delayed property schemes on the Council's budgetary position as well as outlining mitigating actions moving forward
Weekly progress reporting of Property Development projects to officer Development Investment Group (DIG)	<p>Exploring and reviewing options for reducing amount of borrowing required to fund the Housing Delivery programme. Options being explored set out below:</p> <ul style="list-style-type: none"> i) Exploring grant funding options to fund part of the residential developments – a positive initial meeting with Homes England on 07 October 2022. Also exploring with One Public Estate future potential of Brownfield Release grant funding and BEIS green energy grants. ii) Changing the tenure mix of residential schemes to include element of sales of units (reducing the amount of long-term borrowing required) iii) Reviewing with Treasury Management advisors borrowing strategy iv) Bringing forward to November 2022 capitalisation proposals for KGE along with blended mix of the above as to how the Council can facilitate transfer of completed residential schemes at a cost which is financially viable for KGE <p>Above to be covered in a report going to an Extraordinary Council Meeting in January 2023.</p>
Bi-monthly Assets Portfolio Working Group (with Chair and Vice of both CPRC and Development Sub-Committee)	
Regular advisory reports to relevant Committee regarding status of schemes, to inform decision making	CPRC agreed an Appropriation policy for treating any long-term surpluses generated by KGE
CPRC policy steer regarding options for repatriating surplus funds from KGE over the long term; KGE annual report to CPRC; established policies and framework.	On 28 November 2022 CPRC will receive KGE annual report. Options for the Council's capital programme sustainability and the KGE business plan for the next 5 years are to be discussed at a future Extraordinary Council meeting anticipated in January 2023.

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Previous RAG Status (July 2022)	Current RAG Status (Nov 2022)	Previous Risk Score (July 2022)	Current Risk Score (Nov 2022)
		12	12

Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks.

What is the indicative/additional indicative risk score after considering further mitigation measures set out in the Risk Action Plan? (At Nov 2022)	Direction of Travel After considering further mitigation set out in the Risk Action Plan? (Either) - Maintained risk score and RAG status - Reduced score with no change to RAG status - Reduced score and RAG status
12	Maintained risk score and RAG status

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Risk Category 1b - Housing – Affordable

Corporate Priority Areas	Ownership & Accountability for Risk	Lead Officer (s) Risk Category 1b
Supporting Communities Affordable Housing Service Delivery	Management Team Community Wellbeing & Housing	Group Head Community Wellbeing (Karen Sinclair)

Risk Descriptions

1b (i) Lack of affordable housing supply increases homelessness
 1b (ii) Housing provision (types of units) does not meet local resident needs or address client special needs for accommodation
 1b (iii) The Domestic Abuse Act presents additional pressures and demand as there is a requirement for victims of domestic abuse to be prioritised and rehoused in secure accommodation (parameters of what constitutes domestic abuse expanded under latest legislation)
 1b (iv) The ongoing conflict in Ukraine and refugee situation presents additional pressures in ensuring that fundamental needs are met in supporting new communities
 1b (v) There is also pressure from neighbouring and London authorities placing households in the borough, often without our knowledge, however the Council has no powers to prevent this. It further reduces supply.
 1b (vi) Managing demand for social housing is extremely challenging given that anyone with a local connection can apply for housing to any Council
 1b (vii) Cost of Living crisis and rising interest rates are adding increased pressure to (a) homeowners and landlords in repayment of mortgages as variable rates spiral. This may lead to landlords increasing rental charges presenting more homelessness cases (if rents cannot be afforded) with increased demand for social housing

The above risks lead to increased costs and pressure on the Council's Housing Service in responding to homelessness and growing numbers on the Housing register, impacting delivery of affordable housing provision across the borough. If fundamental housing needs are not met / maintained this may have a negative impact on the health and wellbeing of individuals / families.

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
As part of the Housing Delivery Programme, Affordable Housing provision extends beyond those development schemes acquired by Spelthorne Borough Council (direct delivery)	Government funding to assist vulnerable families in rent arrears and who are at threat of eviction.

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Collaborative working with Registered Social Landlords and Partners to pursue delivery of affordable housing need; S106 agreements with Developers	Collaborative initiatives with Surrey County Council (e.g., Drug and alcohol abuse)
In complying with Homelessness Reduction Act, proactive measures taken to address risk of homelessness	Monitoring of Housing Register levels (currently approx. 3,500 households on the register). Re-registration process will take place this winter in accordance with the new terms of the revised Allocation Policy.
Measures to support Rough Sleepers, Afghan and Ukrainian refugee families under the government funded relocation and assistance scheme, including dedicated support workers. Applying Home Office funding to provide additional support to refugees.	Revised Allocation Policy approved in June 2022, with a view to adding greater efficiency to the housing register process and assigning social housing. Council applying for maximum grant funding for both Afghan and Ukrainian schemes and looking to put in place wrap around housing support to mitigate as much as possible housing accommodation risk pressures.
Housing and Homelessness Strategies. Quarterly monitoring of Strategic Action Plan. Regular review by officer Strategic Housing Group. Member approved tenancy strategy	Counter Fraud bulk data matching initiative being pursued with A2D (subject to finalization of contractual agreement), with the objective of identifying potential social housing fraud occurrences, to free up social housing for those in genuine need
Surrey reciprocal arrangement to re-house applicants across boroughs where local connection confirmed	The Housing Team have written to other Councils reminding them of legal obligation to notify where placing households in the borough
£35m property acquisition scheme via KGE – Knowle Green Estates to purchase and manage readymade properties approved by Full Council in February 2022, forming part of the capital programme. A process flowchart has been prepared, incorporating due diligence at key stages	
Approval of new Property Acquisition Project Manager with a view to them supporting the scheme through relevant skillset. This programme has also been impacted by increased borrowing costs	Council discussing with Homes England potential for some grant support for the Street Acquisition Programme

Previous RAG Status (July 2022)	Current RAG Status (Nov 2022)	Previous Risk Score (July 2022)	Current Risk Score (Nov 2022)
		12	12

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks.

What is the indicative/additional risk score after considering further mitigation measures set out in the Risk Action Plan? (At Nov 2022)	Direction of Travel After Considering further mitigation set out in the Risk Action Plan? (Either) <ul style="list-style-type: none"> - Maintained risk score and RAG status - Reduced score with no change to RAG status - Reduced score and RAG status
12	Maintained risk score and RAG status

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Risk Category 2 – Economy

Corporate Priority Areas	Ownership & Accountability for Risk	Lead Officer (s) Risk Category 2
Supporting Communities Recovery from COVID	Management Team Economic Development Committee	Group Head Regeneration & Growth (Heather Morgan) / Economic Development Manager (Keith McGroary)

Risk Descriptions

- Evolving national economic strategy and policy and ongoing recovery from previous pandemic lockdowns continue to have an impact on economic wellbeing locally, nationally and globally. This is now being compounded by impact of the Cost-of-Living crisis. The risk implications and threats to the Council are:
- Residual risk to be accepted – whilst Council actions aim to support businesses and the local economy, these actions alone can only have a limited impact due to the overarching effects and long term uncertainty of the macroeconomic environment, market volatility and geo political factors over which the Council has incredibly little influence.
 - Challenges around the full recovery of the aviation sector remains significant for Spelthorne's local economy and communities due to its proximity to Heathrow as a major employer in the area
 - Significant longer-term reduction in income (fees and charges, such as parking and retail lettings of the Elmsleigh Centre) with decreased footfall in the town centres and uncertainty around future consumer activity patterns. This will continue to impact the Council's finances
 - The potential for increased level of business failures as a result of wider economic instability (inflationary pressures and increase in borrowing) and the need to pass on increased costs to the consumer. This impacts economic prosperity of the borough and affects collections rates for business rate income, with reduced levels impacting finances and services available
 - The current economic environment may increase occurrences of anti-social behaviour, theft and fraud

***Current Control Actions** (See Key. These are specific actions to reduce the likelihood of a risk event or occurrence)

****Current Mitigating Actions** (See Key. These are specific actions to reduce the impact of a risk event should it occur).

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<p>An Economic Prosperity Strategy has been developed (2023 – 2027) which addresses the key actions which face the borough. It incorporates a detailed strategy action plan detailing performance management measures in anticipating outcomes. The draft was agreed at Economic development Committee on 29 September 2022 and the final document is scheduled to go to committee on 12 January 2023.</p> <p>https://democracy.spelthorne.gov.uk/documents/s46623/App%20A%202023-28%20Economic%20Strategyv4.pdf</p>	<p>Government assisted Energy Rebate Scheme to support increased energy costs / bills.</p> <p>On 29 September 2022, the Economic Development Committee agreed a Town Centres Strategy for 2022 -23 which sets out a series of key actions for our smaller shopping areas and parades. These will provide targeted support and interventions, with timescales and measures of success clearly identified.</p> <p>https://democracy.spelthorne.gov.uk/documents/s46628/TCM%20Strategy%20FINAL.pdf</p> <p>On 10 October 2022, Corporate Policy and Resources Committee approved frontloading of Shared Prosperity Fund schemes from the retained business rates retention reserve. This is to ensure that projects can be delivered in the immediate future (when they are needed) rather than waiting for government funding to come forward in 2024/25.</p> <p>https://democracy.spelthorne.gov.uk/documents/s46672/CPRC%2010.10.22%20-%20SPF%20and%20BBR.pdf</p>
<p>Shared Prosperity Fund Investment Plan submitted to government in August 2022 highlighting local priorities and projects to assist with economic regeneration (£1m to spend over three years but with 88% backloaded to 2024/25). Currently awaiting approval from Department for Levelling Up.</p> <p>https://democracy.spelthorne.gov.uk/documents/s44963/CPR%20Ctee%2011.7.22%20SPF%20report%20v2.pdf</p>	<p>A separate report on the Council's risk exposure to wider externalities provides further examples of local mitigating measures taken by the Economic Development team (to influence areas where a degree of local control can be applied). These include measures to strengthen the resilience of local businesses in the face of future challenges enabling access to new equipment, free professional coaching and training on social media, free cost reduction clinics, free websites etc.</p> <p>Business incubator to support entrepreneurs. Provision of a Youth Hub to provide support into employment / training / education for 16 – 24-year-olds funded by DWP. In December 2023 this will</p>

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

	become a Jobs & Skills Hub focusing on the younger and the older age groups.
Fortnightly monitoring of Business Rates and Council Tax collection rates as part of monitoring the effect of current pressures such as the Cost-of-Living crisis on the collection fund. Regular reporting on collection rates to Corporate Debt Group and as part of KPI's to Councillors.	

Previous RAG Status (July 2022)	Current RAG Status (Nov 2022)	Previous Risk Score (July 2022)	Current Risk Score (Nov 2022)
		12	9

Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks.

What is the indicative/additional risk score after considering further mitigation measures set out in the Risk Action Plan? (At Nov 2022)	Direction of Travel After Considering further mitigation set out in the Risk Action Plan? (Either) - Maintained risk score and RAG status - Reduced risk score with no change to RAG status - Reduced risk score and RAG status
9	Maintained risk score and RAG status

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Risk Category 3 – Financial Resilience and Commercial Assets

Corporate Priority Areas	Ownership & Accountability for Risk	Lead Officer (s) Risk Category 3
Recovery from COVID	Management Team CPRC /Development Sub-Committee	Section 151 Officer / Deputy Chief Executive / CFO (Terry Collier)

Risk Descriptions

Evolving externalities arising since the aftermath of the pandemic now compounded by the Cost-of-Living crisis and inflation continue to increase the Council's exposure to financial risk, with possible implications for the investment portfolio, including loss of anticipated rental income from commercial assets and poor investment returns. This may impact on the financial position, leading in the worst-case scenario to the Council becoming financially unsustainable with associated reputational damage.

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
Investment performance is monitored bi-monthly at weekly Councillor Assets Portfolio Working Group, and a quarterly performance report is produced for the Investment Portfolio.	The Council is continuing to increase its sinking funds which increased from £26m to £34m at the end of 2021-22
Fortnightly Asset Portfolio Working meetings are taking place to monitor income. (Investment portfolio doing very well – 99.98% collection rate last year (2021-22) despite the impacts of the pandemic).	Ten-year worst and expected case sinking fund scenario projections are reviewed on a fortnightly basis and will be shortly extended to a 20-year time frame.
91% of overall Investment Portfolio let.	A review of sinking fund methodology and strategy is being undertaken. A report coming to Corporate Policy and Resources on 28 November 2022.
Due Diligence measures continue for tenant management.	
Development Sub-Committee approved a methodology for Business Plans for Investment Assets. A number of assets have now had their Business Plans approved by the Development Sub-Committee.	
Capital Strategy includes key performance indicators with a particular focus on the investment portfolio. The Asset Management plan (reviewed annually) sets out key control measures. Development Sub Committee of Corporate Policy and Resources receives regular monitoring reports for	

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scrutiny. Annual Performance Report. CIPFA FM Code self-assessment and Member reporting.	
All Councillor Budget Briefing setting out financial risks in context of budgetary position, informing budgetary process.	

Previous RAG Status (July 2022)	Current RAG Status (Nov 2022)	Previous Risk Score (July 2022)	Current Risk Score (Nov 2022)
		9	9

Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks.

What is the additional risk score after considering further mitigation measures set out in the Risk Action Plan? (Once these are fully implemented) (At Nov 2022)	Direction of Travel After Considering further mitigation set out in the Risk Action Plan? (Either) - Maintained score with no change to RAG status - Reduced score with no change to RAG status - Reduced score and RAG status
9	Maintained score with no change to RAG status

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Risk Category 4 – Financial Resilience and Supporting Communities

Corporate Priority Areas	Ownership & Accountability for Risk	Lead Officer (s) Risk Category 4
Supporting Communities Recovery from COVID Service Delivery	Management Team CPRC and Community Wellbeing	Section 151 Officer / Deputy Chief Executive / CFO (Terry Collier)

Risk Descriptions

4(i) Increased financial pressures faced by the Council arising from the continued inflationary pressures on fuel, gas and electricity, staff pay pressures, slowing down of the housing delivery programme, significantly increased PWLB loan rates and other external factors are collectively causing a significant increase in revenue costs and capital expenditure. This will have a significant impact on the Council's balanced budget for 2022/23 and the planned budget deficits from 2023/24 to 2025/26.

4(ii) Combined with reduced fee income and collection rates for Business Rates and Council Tax (exacerbated further by the Cost-of-Living crisis) this could have an impact on the Council's ability to deliver services as well as creating greater demands on community services, leading to a negative impact on the Borough's residents and communities (economic, social, physical and mental wellbeing). Ongoing financial pressures could lead to the Council becoming financially unsustainable.

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
Fully refreshed Reserves Strategy	Governance reporting including financial impact of current pressures on the Council's budget.
Financial impact assessment modelling	Inflationary pressure contingency reserve to assist with the predicted budget deficit.
Cashable savings working group set up to target efficiencies and savings. This Group is making process in identifying savings.	Proposals put forward for making efficiency savings to further safeguard the authority in addressing the budget deficit.
All Councillor Budget Briefing setting out financial risks in context of budgetary position, informing budgetary process.	

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Procurement Projects Board set up to ensure focus on delivering value for money from procurement.	Outline Budget report will provide updated medium term budget projections and set out options for refreshed medium term financial strategy. This to be considered alongside the refreshed Reserves Strategy.
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Previous RAG Status (July 2022)	Current RAG Status (Nov 2022)	Previous Risk Score (July 2022)	Current Risk Score (Nov 2022)
		12	12

Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks.

What is the indicative/additional risk score after considering further mitigation measures set out in the Risk Action Plan? (Once these are fully implemented) (At Nov 2022)	Direction of Travel After Considering further mitigation set out in the Risk Action Plan? (Either) - Maintained risk score and RAG Status - Reduced score with no change to RAG status - Reduced score and RAG status
12	Maintained risk score and RAG Status

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Risk Category 5 – Treasury Management

Corporate Priority Areas	Ownership & Accountability for Risk	Lead Officer (s) Risk Category 5
Recovery from COVID Service Delivery	Management Team CPRC	Section 151 Officer / Deputy Chief Executive / CFO (Terry Collier) Chief Accountant (Paul Taylor)

Risk Descriptions

5(i) If the Council receives a reduced return on long term investments and/or investments become insecure in the current / future economic climate, then this will have an adverse impact on the Council's financial position, weakening financial resilience.

5(ii) Stock market volatility due to uncertainty may lead to adverse investment returns.

5(iii) Significant rises to interest rates and increased cost of borrowing / loans influence the Council's treasury activities.

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
Treasury Management Strategy for 2022-23 approved by Members.	Fixed interest rate on most debt and for investments an interest equalisation reserve is in place. Refer also to mitigating actions under section 4 above.
Application of updated CIPFA Code of Practice and Prudential and Treasury Management Codes	Reviewing with Treasury Management advisors the Council's borrowing strategy in the context of interest rates rises and volatility – considering options such as greater internal borrowing, more short-term borrowing, generation of capital receipts to fund portion of Capital Programme.
Performance measurement and reporting	
Aim to select counter parties of the highest credit quality	
Credit ratings monitored	
Council's investments managed internally in consultation with specialist advisors Arlingclose. Explore options for diversifying the portfolio.	
Treasury Management training provided for all Councillors in September 2022	

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Previous RAG Status (July 2022)	Current RAG Status (Nov 2022)	Previous Risk Score (July 2022)	Current Risk Score (Nov 2022)
		9	9

Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks.

What is the additional risk score after considering further mitigation measures set out in the Risk Action Plan? (Once these are fully implemented) (At Nov 2022)	Direction of Travel after Considering further mitigation set out in the Risk Action Plan? (Either) - Maintained score - Reduced score with no change to RAG status - Reduced score and RAG status
9	Maintained risk score and RAG status

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Risk Category 6 – Sustainability & Climate Change

Corporate Priority Areas	Ownership & Accountability for Risk	Lead Officer (s) Risk Category 6
Environment and Climate Change	Management Team Environment and Sustainability Committee	Group Head Commissioning & Transformation (Sandy Muirhead)

Risk Descriptions

Climate change represents a significant global threat driving social and economic disruption with far ranging consequences for socioeconomic stability. Climate change and extreme weather events impact on health and safety, food systems, supply chains & procurement, economic productivity, and losses. Due to climate change, there is a specific risk to the Borough of Spelthorne in terms of more extreme heat and increased flooding, besides the more global threats such as severe storms (threat to loss of life and limb) impacting locally. If the Council is not pursuing measures or seeking positive opportunities to mitigate and adapt to climate change, it could result in criticism / bad press / public demonstration and additional organisational pressures may result in a loss of focus around climate change and green initiatives. A lack of preparedness for the impacts of climate change may lead to Council Services no longer being sustainable or in a suitable position to operate in the future.

***Current Control Actions** (See Key. These are specific actions to reduce the likelihood of a risk event or occurrence)

In view of Government targets for reducing carbon emissions / greenhouse gases to tackle climate change, the Environment and Sustainability Committee will continue to explore ways to meet a carbon neutral target by 2050 or earlier (Developed an action plan to move the Council towards net zero carbon emissions, agreed at Environment and Sustainability Committee September 2022). and to make recommendations on (i) How to apply the £747k fund (ii) Promote climate change as an issue that needs to permeate all Council areas to ensure we reduce our carbon footprint and adapt to climate change. There are numerous examples of measures taken so far:
Sustainability Strategy / Energy & Water Efficiency Policy / Currently developing climate change strategy and actions / Professional group membership to share best practice and knowledge / Implementing energy efficient measures in Council owned buildings / Increasing renewables

****Current Mitigating Actions** (See Key. These are specific actions to reduce the impact of a risk event should it occur).

Recently installed solar panels at the Nursery as a renewable source of energy. Exploring options for improving energy efficiency of Nursery and Council offices.

Officers attended Carbon Literacy training day and have committed to a range of carbon saving pledges.

Development of list of projects to bring forward over the next 6 months for Green Initiatives Funding.

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

capacity / Officers working with relevant committees and Treasury Management advisors on how we can transition investment portfolio to a more sustainable basis. Report to come to Corporate Policy and Resources on 28 November 2022.	
Surrey County Council have developed a strategy on Climate Change referred to as Greener Futures Delivery Plan.	

Previous RAG Status (July 2022)	Current RAG Status (Nov 2022)	Previous Risk Score (July 2022)	Current Risk Score (Nov 2022)
		12	9

Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks.

What is the additional risk score after considering further mitigation measures set out in the Risk Action Plan? (Once these are fully implemented) (At Nov 2022)	Direction of Travel after Considering further mitigation set out in the Risk Action Plan? (Either) - Maintained risk score and RAG status - Reduced score with no change to RAG status - Reduced score and RAG status
9	Maintained risk score and RAG status

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Risk Category 7 – Corporate Capacity, Resources, Recruitment and Retention

Corporate Priority Areas	Ownership & Accountability for Risk	Lead Officer (s) Risk Category 7
All Priorities	Management Team CPRC & Admin Committee	Group Head Commissioning & Transformation (Sandy Muirhead)

Risk Descriptions

- 7(i) Overstretched capacity exacerbated by the additional workload, new Committee system of governance and demands arising from new schemes / initiatives in supporting communities (as well as the departure of several experienced staff) could lead to increased staff fatigue / burnout / sickness levels arising. This may impact further on employee stress levels and mental / physical wellbeing, which may also lead to reductions in expected service delivery.
- 7(ii) Residual risk refers to the risk that remains after control processes and measures to eliminate some or all the inherent risks have been made. It could be deemed that due to the nature of the risk set out at 7(i) above and 7(iii) below with reference to causes and consequences, as well as the continuation of intense work pressures, some residual risk may continue. In acknowledging this, the Council may wish to either: do nothing on the basis that the controls have proven effective enough to reduce the risk to an acceptable level, OR increase or modify controls to reduce the risk to a level that is regarded acceptable OR evaluate the cost of revised control and mitigation measures vs benefits and whether this is deemed necessary to bring the risk to an acceptable level.
- 7(iii) Unsuccessful recruitment and ongoing unfilled vacancies in a challenging and competitive labour market lead to reduced level of technical skills and relevant expertise operating across Services. Staff shortages further exacerbate workload pressures across teams. The consequences of this risk are set out earlier at 7(i).
- 7(iv) Ineffective or inappropriate recruitment exacerbated by the skill shortages within the local government market could result in appointments that fail to effectively meet business need leading to reduced service quality.

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
Capacity management – Management to address workload issues across teams, with continued prioritisation of tasks	Staff can access welfare information on Intranet. Support is available for mental and emotional wellbeing including mental health first aiders and

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	Care First. This scheme has been promoted through regular staff communications.
Responsibility to remain alert to stress related risks of demanding workload.	Monitoring of sickness absence providing corporate view of stress issues.
The need to treat colleagues respectfully has been recognized and communicated.	
Corporate values under the acronym 'PROVIDE' form part of the Corporate Plan. Over time it is the intention for the Council's values to become further embedded into behaviours, policy, and processes (including recruitment).	
Annual staff and Member survey commissioned Spring / Summer 2022 designed to ascertain employee and member views on several themes including workplace culture, values, recruitment and retention. Feedback from the survey has been analysed with a view to making any necessary improvements and changes. Both survey summaries are being reported to Councillors.	
Growth bids for additional resourcing form part of annual budget process (moratorium restrictions being implemented going forward), with 17 FTE's previously approved for 2022/23.	
<p>Several recruitment and retention measures have been underway for some time with examples below:</p> <ul style="list-style-type: none"> i) Recruitment and Retention Policy and Market Supplement Scheme to offer financial enhancements for hard to fill posts which are agreed by MAT. Anticipated £200k of the £250k corporate provision will be utilised in 2022/23 ii) An apprenticeship training programme to upskill existing staff and offer development opportunities to new hirers. As part of the Finance restructure (being funded within existing budget), two apprentice posts are being created iii) An Employee Assistance Programme scheme and Mental First Aider scheme to assist with staff wellbeing iv) Implementation of hybrid working in response to staff feedback and ensuring that staff are fully equipped to work from home v) Flexi time working arrangements 	

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<p>vi) An exit interview scheme routinely offered / undertaken that encourages leavers to engage, providing an opportunity for SBC to learn, improve and apply where appropriate for the future</p> <p>vii) A 2.5% pay increase for 5 lowest grades approved for 2022/23 and 2% increase for all other staff (moratorium on staff establishment resource for 2023/24)</p> <p>viii) Members of South East Employers newly formed Reward and Recognition Network to share best practice and to learn from any initiatives taking place elsewhere (this is a work in progress). This highlights that all local authorities are experiencing recruitment issues.</p> <p>ix) Collaborative working and Partnerships being explored with a view to enhancing organisational and service resilience, promoting career opportunities and staff retention measures. Working group in place.</p>	
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Previous RAG Status (July 2022)	Current RAG Status (Nov 2022)	Previous Risk Score (July 2022)	Current Risk Score (Nov 2022)
		12	12

Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks.

<p>What is the additional risk score after considering further mitigation measures set out in the Risk Action Plan? (Once these are fully implemented) (At Nov 2022)</p>	<p>Direction of Travel (Either) after considering further mitigation set out in the Risk Action Plan?</p> <ul style="list-style-type: none"> - Maintained risk score and RAG (Red/Amber or Green) - Reduced score with no change to RAG status - Reduced score and RAG status
12	Maintained risk score and RAG

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Risk Category 8 – Equality, Diversity, and Inclusivity		
Corporate Priority Areas	Ownership & Accountability for Risk	Lead Officer (s) Risk Category 8
All Priorities	Management Team Admin Committee	Management Team Group Head Commissioning & Transformation (Sandy Muirhead)

Risk Descriptions
If there is a failure to effectively adhere to the Equality Act (2010), this could lead to workplace practices and delivery of services that fail to incorporate necessary principles, standards and requirements in promoting equal opportunities, diversity and inclusivity. This may increase risks of discriminatory practices and consequentially, the Council could be subject to complaints or even claims resulting in reputational damage.

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
Training mechanisms to raise awareness and understanding such as use of Workrite and external trainer provided remote staff training during 2020/21.	Equality Impact Assessments are completed as a requirement on initiation of new projects and strategies .
Some examples of how the Council demonstrates its commitment to E,D & I principles include: (i)Recognising and celebrating diversity through communications and engagement amongst staff and local communities such as Black History Month and GBLT Pride month. (ii)Champions (Staff reps) introduced at staff meeting to explore further positive approaches relating to E,D & I. Inclusivity Working Group in place. (iii) Corporate Values – (PROVIDE)are incorporated into the Council's equality and diversity objectives (to be published next week) together with an internal equality and diversity policy. (iv) An Equality, Diversity and Inclusivity 'Statement of Intent' document has been recently reported. (v) Internal and external websites have been updated.	

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Previous RAG Status (July 2022)	Current RAG Status (Nov 2022)	Previous Risk Score (July 2022)	Current Risk Score (Nov 2022)
N/A NEW RISK CATEGORY		N/A NEW RISK CATEGORY	9

Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks.

What is the additional /indicative risk score after considering further mitigation measures set out in the Risk Action Plan? (Once these are fully implemented) (At Nov 2022)	Direction of Travel After Considering further mitigation set out in the Risk Action Plan? (Either) - Maintained risk score and RAG - Reduced risk score with no change to RAG status - Reduced risk score and RAG status
6	Reduced risk score with no change to RAG status

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Risk Category 9 – Working arrangements across local government tiers

Corporate Priority Areas	Ownership & Accountability for Risk	Lead Officer (s) Risk Category 9
All Priorities	Management Team Corporate Policy and Resources Committee (CPRC)	Management Team

Risk Descriptions
<p>9 (i) The County Deal presents potential implications for collaborative and partnership working approaches across Surrey Districts and Boroughs in serving local communities.</p> <p>9 (ii) In the context of wider financial / funding challenges being experienced across local government, there is a greater risk that pressures faced at County Council level may be diverted to districts and boroughs. This could lead to increased workload for smaller authorities like Spelthorne as well as extended complexity and risk in delivering high profile services / operations for which skills and expertise may not be held. (One example relates to Family Support where the volume of County referrals for high need cases have increased significantly, as well as the caseload category exceeding 'level 3').</p> <p>9 (iii) As Surrey County Council draw to an end a number of services and agency agreements (formerly undertaken by Spelthorne), this could lead to reduced service quality in areas such as on-site parking and verge maintenance, impacting local communities and residents.</p>

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
Service Level Agreements to clarify roles and responsibilities of respective parties	Spelthorne is committed to working in partnership with a significant number of such arrangements already in place, with a view to promoting greater alignment of strategic responsibilities and resources to achieve greater effectiveness and optimising best value.

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Strategic boards such as Surrey Delivery Board established in making broader decisions	
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Previous RAG Status (July 2022)	Current RAG Status (Nov 2022)	Previous Risk Score (July 2022)	Current Risk Score (Nov 2022)
N/A – NEW RISK CATEGORY		N/A NEW RISK CATEGORY	9

Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks.

What is the additional/indicative risk score after considering further mitigation measures set out in the Risk Action Plan? (Once fully implemented) (At Nov 2022)	Direction of Travel After Considering further mitigation set out in the Risk Action Plan? (Either) - Maintained risk score and RAG status - Reduced score with no change to RAG status - Reduced score and RAG status
9	Maintained risk score and RAG status

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**APPENDIX B RISK ACTION PLAN REPRESENTING FURTHER MITIGATING ACTIONS (OPEN)
REVIEWED OCTOBER 2022**

**COMPLETED ACTIONS ARE SHADED IN GREEN, CONTINUOUS ACTIONS ARE IN BLUE, NEW ACTIONS ARE IN PINK.
OVERALL ACCOUNTABILITY ASSIGNED TO MANAGEMENT TEAM AND RESPECTIVE COMMITTEE**

RISK CATEGORY (RC) REFERENCE (AS IN THE CRR)	ACTIONS (SMART)	DATE ACTIONS ADDED	LEAD OFFICER DATE ACTIONS REVIEWED & WHOM BY	TIMELINE FOR DELIVERY (MONTH AND YEAR) (INCLUDES ALL REVISED TARGET DATES)	STATUS (IMPLEMENTED / IN PROGRESS OR OUTSTANDING) (REPORTED STATUS AT OCTOBER 2022)
1a. HOUSING – Development & Targets	1a (i). Preparation and adoption of New Local Plan to meet future need and strengthen affordable Housing Policy	March 2020	Lead - Strategic Planning Manager (Ann Biggs) <i>Action reviewed by Group Head Regeneration & Growth on 7.10.21</i> <i>Action reviewed by Group Head Regeneration & Growth on 09.02.22</i> <i>Action reviewed by Group Head Regeneration & Growth on 24.06.22 & 27.10.22</i>	(i) March 2022 (ii) Revised – June 2023	IN PROGRESS The Pre-Submission Publication Version of the Local Plan and Draft Staines Development Framework Publication were agreed by the Environment and Sustainability Committee on 26 April 2022 and then at Council on 19 May 2022 A report will be going to Environment and Sustainability Committee on 8 November to agree a revised Local

APPENDIX B RISK ACTION PLAN REPRESENTING FURTHER MITIGATING ACTIONS (OPEN)
REVIEWED OCTOBER 2022

COMPLETED ACTIONS ARE SHADED IN GREEN, CONTINUOUS ACTIONS ARE IN BLUE, NEW ACTIONS ARE IN PINK.
OVERALL ACCOUNTABILITY ASSIGNED TO MANAGEMENT TEAM AND RESPECTIVE COMMITTEE

					Development Scheme timetable and minor alterations to the Staines Development Framework
1a. HOUSING – Development & Targets	1a (ii). Greater strategic direction for Knowle Green Estates (KGE) will support progress in delivering Council priorities, development targets and addressing housing needs (affordable and general).	October 2021	Lead - Management Team. <i>Action reviewed by Chief Finance Officer, 14.10.22</i>	(i)March 2022 (ii)Revised – September 2022 (iii)Revised January 2023	IN PROGRESS On 28 November 2022 CPRC will receive KGE annual report. Future options are to be discussed at an Extraordinary Council meeting (anticipated in January 2023).
1b HOUSING – Affordable	1b (i). Service Level Agreement to be put in place with registered providers to establish and take forward cases of any alleged tenancy fraud with a view to freeing up social housing	March 2020	Lead - Housing Strategy Manager (Marta Imig) <i>Action reviewed by Housing Strategy Manager on 3.10.2021,28.1.22 & 28.6.22</i>	(i)October 2021 (ii) Revised March 2022 (iii) Revised July 2022 (iv) Revised October 2022 (v)Revised January 2023	IN PROGRESS To undertake a targeted bulk data matching exercise. Delays encountered in seeking buy-in. Further to finalisation of legal agreement with Registered Provider, this exercise can commence.
2.REGENERATION AND GROWTH	2i.The Economic Prosperity Strategy is being reviewed and fully refreshed to cover	June 2022	<i>Group Head Regeneration and Growth (Heather</i>	(i) September 2022	IN PROGRESS

**APPENDIX B RISK ACTION PLAN REPRESENTING FURTHER MITIGATING ACTIONS (OPEN)
REVIEWED OCTOBER 2022**

**COMPLETED ACTIONS ARE SHADED IN GREEN, CONTINUOUS ACTIONS ARE IN BLUE, NEW ACTIONS ARE IN PINK.
OVERALL ACCOUNTABILITY ASSIGNED TO MANAGEMENT TEAM AND RESPECTIVE COMMITTEE**

	2023 – 2028. It will incorporate any residual actions from the Corporate recovery plan.		<i>Morgan) reviewed 27.10.22</i>	ii.Revised January 2023	Some elements already shared and considered with the Economic Development Committee. The final draft of the strategy was considered by the Economic Development committee on 29 September 2022 and will go back to Committee on 12 January 2023 for final adoption.
3. FINANCIAL RESILIENCE AND COMMERCIAL ASSETS	3i. Extending the scenario modelling for sinking fund adequacy from 10 years to 20 years. Review of the sinking fund methodology.	2022	<i>Current Operational Lead for Assets - Deputy Chief Executive, Lee O'Neil</i> <i>Action reviewed by Deputy Chief Executive - Chief Finance Officer 17.6.22 & 14.10.22</i>	(i) December 2022	IN PROGRESS At November 2022, shortly to extend the scenario modelling from 10 to 20 years. Report going to 28 November CPRC on review of the sinking fund methodology/approach and confirming strategy.

**APPENDIX B RISK ACTION PLAN REPRESENTING FURTHER MITIGATING ACTIONS (OPEN)
REVIEWED OCTOBER 2022**

**COMPLETED ACTIONS ARE SHADED IN GREEN, CONTINUOUS ACTIONS ARE IN BLUE, NEW ACTIONS ARE IN PINK.
OVERALL ACCOUNTABILITY ASSIGNED TO MANAGEMENT TEAM AND RESPECTIVE COMMITTEE**

5.TREASURY MANAGEMENT	5i. Finalisation of the Council's borrowing strategy with Treasury Management Advisors in the context of the challenges presented in the current financial environment	October 2022	Deputy Chief Executive/ Chief Finance Officer	(i)December 2022	NEW ACTION & IN PROGRESS. Several options are being considered as referred to on the register.
6. SUSTAINABILITY & CLIMATE CHANGE	6i Following approval of the £747k Green Initiatives Fund as part of the Council's 2021/22 Budget, recommendations to be made as to how to apply that fund	March 2021	Lead Officer - Group Head Commissioning & Transformation (Sandy Muirhead) <i>Action reviewed by Group Head Commissioning & Transformation 10.2.22 & 26.10.22</i>	(i)June 2021 (ii)Revised October 2022 (iii)Revised March 2023	IN PROGRESS Environment and Sustainability Committee of January 2022 agreed framework for prioritising bids to the Green Initiatives provision. Bids submitted covering a range of topics and more will be brought forward to Committee over the next 6 months
6.SUSTAINABILITY & CLIMATE CHANGE	6ii. Training is being arranged to raise awareness and enhance understanding of Climate Change issues across the Council.	June 2022	Lead Officer - Group Head Commissioning & Transformation (Sandy Muirhead) reviewed 26.10.22	(i)September 2022 (ii) June 2023	IN PROGRESS Training delivered to initial group of staff September 2022 and will be rolled out over the next year to all staff.
7. CORPORATE CAPACITY,	7i. Monitoring impact of departure of experienced	March 2021	ALL / Group Head Commissioning &	Continuous action	ONGOING

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RESOURCES, RECRUITMENT AND RETENTION	officers and managing associated loss of organisational knowledge and talent. Review of staff retention measures to reduce and mitigate the risk of staff departures.		Transformation (Sandy Muirhead) <i>Action reviewed by Group Head Commissioning & Transformation 10.2.22/26.10.22</i>		Spelthorne are Members of South East Employers newly formed Reward and Recognition Network to share best practice and learn from new initiatives.
7.CORPORATE CAPACITY, RESOURCES, RECRUITMENT AND RETENTION	7ii. The continuation of excessive workload pressures exacerbated further by the Committee system of Governance and demands arising from new schemes / initiatives in supporting communities needs to be kept under regular review in view of the significant risk implications (as set out on the Corporate Risk Register at Appendix 1).	February 2022	Management Team <i>Action reviewed November 2022</i>	Continuous action	IN PROGRESS Revenue Monitoring Reports to Committee highlight variances between Budgeted FTE and actual FTEs (not including agency and temps).
7.CORPORATE CAPACITY, RESOURCES, RECRUITMENT AND RETENTION	7iii. Continue to explore new and innovative recruitment and retention strategies in a competitive market.	February 2022	Group Head Commissioning & Transformation (Sandy Muirhead) and HR Managers <i>Action reviewed by Group Head Commissioning &</i>	(i)June 2022 (ii)Revised October 2022 (iii)Revised February 2023	IN PROGRESS (No further Updates to report at Nov 2022) Collaborative working with professional groups such as South East Employers to

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			<i>Transformation (Sandy Muirhead)</i> 24.6.22/26.10.22		explore options and strategies. This is a 'work in progress'.
8.EQUALITY, DIVERSITY AND INCLUSIVITY	8i.Produce an Equality, Diversity, and Inclusivity Strategy for the Council. This will provide a more robust structured approach in delivering and embedding essential, principles, standards and requirements in promoting equal opportunities, diversity and inclusivity.	October 2022	MAT hold overall accountability and will need to assign a lead Officer to support production of a strategy together with appropriate resources.	Proposed March 2023	NEW ACTION Statement of Intent and equality objectives produced as a first step, and internal and external website updated.

COMPLETED ACTIONS IN GREEN

RISK CATEGORY REFERENCE (AS IN THE CRR)	ACTIONS (SMART)	DATE ACTIONS ADDED	LEAD OFFICER DATE ACTIONS REVIEWED & WHOM BY	TIMELINE FOR DELIVERY (MONTH AND YEAR) (INCLUDES ALL REVISED TARGET DATES)	STATUS (IMPLEMENTED / IN PROGRESS OR OUTSTANDING) (REPORTED STATUS AT MARCH 2022)
FINANCIAL RESILIENCE AND SUPPORTING COMMUNITIES	RC4i. Identifying additional inflationary pressures impacting the Council's budget and financial position.	June 2022	Lead Officer - Deputy Chief Executive - <i>Chief Finance Officer</i>	July 2022	COMPLETED ACTION Report to CPRC July 2022 identifying additional inflationary pressures of

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					approximately £1.2m impacting on the 2023/24 budget. A number of mitigating actions are being taken to tighten the 2023-24 Budget process (see register).
FINANCIAL RESILIENCE AND COMMERCIAL ASSETS	RC 3ii. Continued application of CIPFA'S Financial Management Code (responsibility of whole organisation) in close alignment with the LGA Financial Peer Review recommendations	March 2021	Lead Officer - Deputy Chief Executive - <i>Chief Finance Officer</i> <i>Action reviewed by Deputy Chief Executive 15.10.21, February 2022, June 2022.</i>	Addressed over course of time so added to completed actions	COMPLETED ACTION Financial Management Code Self-Assessment taken to November 2021 Audit Committee. Action Plan for Finance Peer Review recommendations periodically reported to Corporate Policy and Resources and Audit Committee.
6. SUSTAINABILITY & CLIMATE CHANGE	6i. Developed an action plan to move the Council towards net zero carbon emissions	June 2022	Lead Officer - Group Head Commissioning & Transformation (Sandy Muirhead) . Reviewed October 2022	(i)October 2022	COMPLETED ACTION Agreed at Environment and Sustainability Committee September 2022

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6.SUSTAINABILITY & CLIMATE CHANGE	6iii. County have developed a strategy on climate change Greener Futures Delivery Plan	March 2021	Lead Officer - Group Head Commissioning & Transformation (Sandy Muirhead) <i>Action reviewed by Group Head Commissioning & Transformation 10.2.22 & 24.6.22 & 26.10.22</i>	(i)Revised September 2022 (previously ongoing)	COMPLETED ACTION Worked in partnership with SCC / Boroughs and Districts to develop a Climate Change strategy and related actions with a view to September 2022 publication
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Corporate Policy and Resources Committee

Monday 28th November 2022

Title	Review of Community Lettings Policy
Purpose of the report	To make a decision
Report Author	Katherine McIlroy - Property Manager.
Ward(s) Affected	All Wards
Exempt	No
Exemption Reason	N/A
Corporate Priority	This item is not in the current list of Corporate Priorities but still requires a Committee decision.
Recommendations	<p>Committee is asked to:</p> <ul style="list-style-type: none"> • Approve the revised Community Lettings Policy. • Approve the recommendation of the Community Lettings Policy Task Group in relation to two supplemental community lettings. Firstly, a new lease of the whole of Long Lane Pavilion, Stanwell to Stanwell Events. Second, the supplemental letting of the changing rooms at Ashford Recreation Ground, Clockhouse Lane, Ashford to Dramatize.
Reason for Recommendation	<p>The Community Lettings Policy was reviewed and it was apparent that the Policy did not sufficiently cover all applications from tenants, community groups, residents and businesses that Officers were dealing with on a daily basis. At Corporate Policy and Resource Committee on 11th July 2022 it was agreed that a Task Group would be established to agree amendments to the policy. The Task Group has now agreed the revised policy and is seeking approval from the Committee for it to be adopted. Furthermore, two urgent requests from existing tenants, namely Stanwell Events and Dramatize were reviewed by the Task Group in lieu of the current policy not adequately covering their application. The Committee is required to approve the Task Groups recommendation to approve the new lease of additional space to both Stanwell Events at Long Lane Pavilion, Stanwell and to Dramatize at Ashford Pavilion, Ashford Recreation Ground.</p>

1. Summary of the report

- 1.1 The Community Lettings Policy provides a transparent, equitable process for the assessment of community assets and their use. It provides a framework for letting community assets.
- 1.2 The review of the Community Lettings Policy was presented to Corporate Policy and Resources Committee on 11th July 2022. The review highlighted Officers were receiving a significant number of applications which were not covered by the Policy. This meant that Officers had no clear guidance as to how to respond to the applications or the route for approval.
- 1.3 At Committee on 11th July 2022, it was agreed that a Task Group, consisting of Members would be established to review the Policy. The revised Policy would assist Officers and Members in dealing with property leasing matters within the community and affecting community assets.
- 1.4 It was also agreed that Officers would not to pursue community leasing applications until the Committee had approved a strategy and reviewed the Policy.
- 1.5 At Committee, Members raised two urgent applications which were awaiting a decision. It was agreed that the Task Group would review the two applications in parallel with the policy review as time was of the essence.

2. Key issues

- 2.1 The current Community Lettings Policy was silent on applications from existing tenants who applied to take additional space within the same building or property that they occupy under lease. It did not cover applications from existing tenants or third parties that applied to refurbish existing but derelict and vacant assets. There was no guidance for Officers when applications were received from third parties or community groups looking to develop new assets on Council land.
- 2.2 The most significant change to the Policy has been an amendment to allow greater involvement from Ward Councillors. There is also an emphasis on the Asset Management Team working in collaboration with other departments including Neighbourhood Services and Community Wellbeing (known as Corporate Working Group) in reviewing a property related enquiries.
- 2.3 In situations where existing tenants approach the Council to take a lease of additional space or extend the lease term or would like to renew their lease (where they have no legal rights to renew) a recommendation will made to the Ward Councillors to decide whether the Community Lettings Policy Procedure should apply. The Community Lettings Policy Procedure refers to the advertising of the property on the Council's website to invite alternative expressions of interest in the asset. If Ward Councillors do agree that the letting to an existing tenant should be exempt from the being openly advertised, then it is referred to the Chair & Vice Chair of CPRC to agree and complete the Exceptional Circumstances Form.
- 2.4 The Task Group have introduced a score card for the Asset Manager to completed as part of the recommendation process. It is used to demonstrate whether the tenant is meeting certain expectations including the payment of

rent, compliance with lease terms, beneficial community use and good landlord/tenant and neighbourly relations.

- 2.5 The Task Group has agreed that Officers are not to consider applications to develop new assets on recreational grounds and green open spaces by third parties.
- 2.6 Existing assets or buildings which are vacant may be considered for use as a community asset. In these circumstances the Asset Management Team in conjunction with the Corporate Working Group (comprising of Neighbourhood Services and Community Wellbeing) will assess the feasibility of the asset for community use and make a recommendation to Ward Councillors. If Ward Councillors support the use of the property as a community asset then the Community Lettings Policy Procedure will apply to identify an appropriate tenant. If additional expenditure is required it may be subject further approval in line with the Council's Constitution.
- 2.7 The current policy does not cover the application of existing tenants to take a further lease of space within the same building. Stanwell Events and Dramatize have both approached the Council for support to take a lease of additional space to expand their services to the community. Since the policy does not specifically cover this scenario, the Task Group met to discuss whether a letting could be granted to the two organisations without the need to openly advertise the space as is required under the Policy.
- 2.8 Stanwell Events were granted a 5 year lease of the ground floor of Long Lane Pavilion in Stanwell in November 2021 at a rent of £2,000 per annum.
- 2.9 Stanwell Events is a registered charity (charity number 1187357). They use the premises to operate the Stanwell Foodbank together with other community initiatives. During the pandemic they delivered over 450,000 meal equivalents to local residents, they continue to use the premises to provide meals to those in need (during the school holidays in conjunction with Surrey County Council they provided meals for children) and run cookery classes with families. They have partnered with Citizens Advice Runnymede and Spelthorne (CARS) and the police and have intentions to expand links with local voluntary and public sector services.
- 2.10 Stanwell Events are in need of additional space to expand the services that they offer. They require a larger communal space to hold group meetings as well as office space for their own use and use by their voluntary-sector partners to hold confidential meetings.
- 2.11 Stanwell Events secured planning permission for an extension at ground floor level and a change of use and extension at first floor level in June 2022 (planning application number 22/00511/FUL).
- 2.12 Stanwell Events would approach the development in two phases, phase one would extend the ground floor and install a lift to provide disabled access to the first floor. Phase two would include the extension of the first floor. Whilst some funding has been provided, to secure the majority of the funding they are reliant on the grant by the Council of a 25 year lease of the whole property in order to satisfy funding partners.
- 2.13 They have applied to the Council to take a 25 year lease of the whole property including the first floor flat which currently provides temporary housing for homeless families.

- 2.14 Stanwell Events are at the second submission stage of Your Fund Surrey and have other funding applications which rest on the Council's approval for the grant of a longer lease.
- 2.15 Dramatize currently occupy part of the Ashford Recreation Ground pavilion, Clockhouse Lane, Ashford. They hold a lease until June 2033 at an annual rent of £9,000.
- 2.16 Dramatize is a registered charity (registration number 1095576). They provide meaningful life-based skills, work experience, therapies and fun for their students with learning disabilities in Spelthorne. Their aim is to support their students to ensure they reach their personal goals and full potential.
- 2.17 Dramatize have a waiting list of students who would like to benefit from their program. They have applied to the Council to take a lease of the changing rooms within the pavilion. The changing rooms would provide much-needed space and allow Dramatize to accommodate those currently on the waiting list.

3. Options analysis and proposal

- 3.1 The Task Group are recommending the approval of the revised Community Lettings Policy. The policy will provide a framework for Officers, Members and third parties to understand the decision-making process with regard to the letting of the Council's community assets. By not accepting the recommendation of the Task Group a level of ambiguity will surround the reviewing and leasing of Council assets.
- 3.2 The Task Group support Stanwell Events in their application to lease the ground and first floor of Long Lane Pavilion on a 25 year lease term. They recognise the exceptional support that Stanwell Events provides to the local community and the importance of this work continuing in the current economic climate.
- 3.3 The Task Group supports Dramatize in their application to lease the changing rooms at Ashford Pavilion which will allow the charity to expand their services to people with learning disabilities in the borough.

4. Financial implications

- 4.1 The letting of Long Lane Pavilion to Stanwell Events will involve the loss of a two-bedroom flat which is used by the Council as temporary accommodation. The net annual cost of placing families in alternative bed and breakfast is estimated as £6000 per annum. Were the Council to try to purchase a like for like property the cost would be in excess of £400k.
- 4.2 The letting to Dramatize will involve the loss of a changing room provision at Ashford Recreation Ground. There would be a financial cost to replacing the changing rooms. The football pitches and changing room facilities have been booked on an ad hoc basis by a team called Football Casuals on alternate Sundays. They do not have an annual licence.

5. Risk considerations

- 5.1 There are no risk considerations involved in agreeing with the recommendation to amend the Community Lettings Policy.

6. Procurement considerations

- 6.1 The Procurement team have been consulted and there are no procurement considerations arising from this report.

7. Legal considerations

- 7.1 The Community Lettings Policy as revised has been reviewed by the Legal team and they have advised on the governance aspects of the Policy.
- 7.2 The Legal Team will be involved with the drafting of suitable lease agreements with the Stanwell Events and Dramatize should the recommendation of the Task Group be approved.

8. Other considerations

- 8.1 Long Lane Recreation Ground is located within the Greenbelt. This prevents Stanwell Events from extending the building footprint beyond the limits of the existing paved footprint. The inclusion of the first floor flat is the only option available to the Council if they decide to support Stanwell Events and provide them with the additional space that they require.
- 8.2 The Council does not have alternative space to offer Dramatize at Ashford Recreation Ground. The option of portacabins on the hardstanding adjacent to the pavilion was considered. This was discounted as it would be detrimental to the visual amenity and set a precedent for similar requests at other parks.
- 8.3 Ashford Recreation Ground is not located within the Greenbelt. As such it would be possible, subject to planning to build a modern changing facility if the football pitches were to be upgraded for regular team play. The Task Group thought that changing facilities, should they be required in the future could be provided in an alternative location within the recreational ground. This would be at a future cost to the Council.

9. Equality and Diversity

- 9.1 The review of the Community Lettings Policy will provide a framework for leasing the Council's assets in a transparent and inclusive manner.
- 9.2 Both Stanwell Events and Dramatize are charitable organisations whose purpose and objectives are intrinsically linked to ensuring and promoting equality.

10. Sustainability/Climate Change Implications

- 10.1 The Council is committed to ensuring that its community assets are used to provide maximum benefit to the residents of the borough. The Community Lettings Policy supports this process and provides a method of reviewing the use of the assets and an open and transparent method of leasing.
- 10.2 Long Lane Pavilion at Stanwell was underused for many years until Stanwell Events took a lease. The ground floor of the building was unfit for purpose. Stanwell Events have ambitious plans to make significant alterations to the building so that it can be utilised as a community foodbank, kitchen and hub.
- 10.3 The changing rooms at Ashford Recreation Ground are currently underused. Funding would be required to improve the football pitches to enable the recreation ground to host a permanent football club. Whilst the Task Group recognise the importance of improving the sporting facilities in the borough it was felt that the changing rooms would better meet community need by immediate use by Dramatize.

11. Timetable for implementation

- 11.1 If the Community Lettings Policy is approved without amendments, the revised policy will be published on the Council's website. It will form the framework for all future community asset lettings.
- 11.2 On approval of the lettings to both Stanwell Events and Dramatize, the Asset Management Team will agree the details of the leasing arrangement and the legal team will draft suitable documentation.

12. Contact

- 12.1 The author of this report is Katherine McIlroy who can be contacted at k.mcilroy@spelthorne.gov.uk.

Background papers: There are none.

Appendices:

Appendix A – Revised Community Lettings Policy

Appendix B – Community Lettings Policy Appendix 1 Further Information Form

Appendix C – Community Lettings Policy Appendix 2 Sample Scoring Matrix Form

Appendix D – Community Lettings Policy Appendix 3 Flow chart of the Community Lettings Procedure.

Appendix E – Community Lettings Policy Appendix 4 Community Letting Policy Flow Chart.

Appendix F – Community Lettings Policy Appendix 5 Tenant Score Card.



Community Lettings **Policy**

November 2022

Community Lettings Policy

1. Introduction

The Council's municipal asset portfolio assets comprises some 668 assets, the biggest category of which consists of land (50%) but also includes buildings, and structures within the borough of Spelthorne. The assets are held by the Council to provide benefits to those who live and work in Spelthorne. The assets are varied including public recreation grounds, play parks, allotments, open space, highway land, grazing land, bridges, war memorials, public art, bowling greens, cemeteries, leisure centres, car parks, community halls, the depot, nurseries, day centres, public toilets, park buildings (pavilions and changing rooms), the nursery and scout & guide huts (N.B. this list is not exhaustive and does not include miscellaneous land that may be considered for future community use).

The Council's portfolio of assets are held to; support direct service delivery, support delivery by partners including the voluntary sector, stimulate economic activity and regeneration and support the Council's budgets. The Council has a duty to act as custodian of community assets whilst supporting and facilitating third sector development through community use agreements/leases.

The Council defines a Community Asset as a building and/or land that has a community use and from which a community-based activity or service to the community is or could be delivered. Where a Community Asset is considered suitable for beneficial use by a third party through a lease agreement the Community Letting Procedure is to be applied. The Community Letting Policy sets out the leasing procedure for all lettings of Community Assets.

For the purpose of this policy the term Community Letting refers to the allocation of a lease of a Community Asset to a community organisation for 5 years or more.

2. Purpose of the policy

The purpose of the Community Lettings policy is to establish a transparent and positive framework that sets out the Council's desired objectives for long-term community asset usage. This policy will be used to robustly evaluate current and proposed community usage arrangements through the establishment of a cross service evaluation criteria and procedure. The procedure will:

- source information across services to respond to queries from organisations in a timely manner.
- ensure that Elected Members and officers understand how the evaluation of community asset usage can benefit both the Council and local communities.

Through implementation of the policy and procedure, the Council will ultimately gain a robust methodology to inform and influence long-term community asset usage decisions.

3. Objectives

The objectives of this policy are:

- to ensure a transparent, equitable process for the assessment of community assets and their future use
- to maximise the benefit of Council owned assets for local communities
- to maximise the utilisation of community assets through shared usage arrangements
- to provide long-term sustainability for services and assets to ensure due consideration is given to assets that are already highlighted for potential investment by external sources
- to provide value for money for the Council and residents
- to provide a stimulus for partnership working
- to enhance the Council's reputation

4. Local policy context

The Council will adopt an agreed method of assessing the benefits of current use vs proposed community use that is strategically linked to the Council's corporate priorities. The Corporate Plan 2021-2023 lists the following corporate priorities:

Community – To build strong relationships with our residents and businesses and helping to forge links within those communities so that they feel empowered, included, supported, safe and healthy.

Affordable Housing – To deliver housing that meets the needs of all sections of our communities, building new homes, helping people to stay in their existing accommodation and ensuring that none of our residents are homeless.

Recovery – To provide support and guidance to our residential and business communities to enable them to recover from the significant effects of the COVID-19 pandemic.

Environment – To work with our communities and partners to minimise our effects on the environment, play our part in tackling the threat of climate change and to maintain a clean, green, attractive Borough which recognises and protects diversity.

Service Delivery – To deliver efficient and effective services which meet the changing needs of our communities, adapting to meet new challenges, new ways of working and different ways of interacting with our communities.

The Asset Management Plan for Spelthorne Borough Council sets out the Council's commitment to undertaking a comprehensive review of the municipal asset portfolio. The key issues to be identified are:

- the suitability of the building/ location for the delivery of the service
- whether the service is needed for the long-term
- whether the property occupied represents or could represent value for money.

The findings from this review together with the Corporate Priorities and other adopted Council policies will be used to assess the potential future use of the asset. It will assist in identifying if an asset can be considered a Community Asset and whether the Community Letting Procedure will apply.

5. Principles of the Community Lettings Policy

The policy on Community Lettings is underpinned by the following principles:

- any proposed community letting must support the aims and priorities of the Council as set out in an adopted policy e.g. Corporate Plan, Asset Management Plan, Health and Wellbeing Strategy
- any community asset usage criteria and procedure must support the overall policy objectives
- recognise the Council's dual roles as a supporter of the third sector but also as a steward of publicly owned assets
- all Council service areas and Elected Members will endorse and help deliver this agenda
- the policy will be maintained and delivered by a Corporate Working Group consisting of representatives from Asset Management, Community Wellbeing and Neighbourhood Services.

This policy will be supported by a robust evaluation criteria and procedure as set out in this document and appendices.

For clarity:

- This policy applies to the grant of a lease (the grant of legal interest in land which gives exclusive possession for a fixed period of time) of five or more years but will exclude licences or other tenancy arrangements. All leases of less than five years or other tenancy arrangements are subject to the approval process under the Council's Constitution.
- This policy will also apply to lease renewals or where we have a vacant property which is surplus to Council requirements. As an authority we do need to ensure that every opportunity is offered out to other community organisations regardless of whether or not there is a current tenant whose lease term is coming to an end to ascertain which community use might be best for the premises and community. The only situation where this would not apply would be when the tenant has a legal right to renew their lease under the Landlord and Tenant Act 1954 or there are other legal or technical reasons why this cannot be done.
- At lease expiry if a current tenant is seeking to renew the lease the Asset Management Team (and/or Corporate Working Group where appropriate) will review the conduct of the tenant during the lease term. The tenant's conduct will be reviewed and scored (Appendix 5) taking into account the following factors;
 - rent payment history
 - compliance with lease terms
 - community use
 - occupancy levels
 - tenant funded alterations and investment in the asset
 - landlord and tenant relations

- tenant and neighbour relations

On reviewing the tenant's past performance in line with the above criteria. Ward Councillors will be asked to approve the officer's recommendation on whether or not the Council is willing to renew the lease. If supported then an Exceptional Circumstances Form will be completed and forwarded to the Chair and Vice Chair of the Corporate Policy and Resources Committee for final approval. If not supported by Ward Councillors then the Community Letting Procedure will apply and the asset will be advertised to allow other expressions of interest.

- On occasion an existing tenant may apply to take a lease of additional space within the same building or within the curtilage of the asset that they already occupy. In such circumstances the Asset Management Team (and/or Corporate Working Group where appropriate) will review the tenants conduct using the criteria outlined above (Appendix 5). Before reviewing the tenant's conduct the additional space to be granted to the tenant must be for a use that is a continuation of the permitted use under the existing lease and the term to be granted should be no greater than the tenant's unexpired term. If these circumstances apply the Asset Management team (having consulted with the Corporate Working Group) will make a recommendation to the Ward Councillors and if approved an exemption to the Community Letting Procedure will be granted by an Exceptional Circumstances Form agreed by the Chair and Vice Chair of the Corporate Policy and Resources Committee. If the Ward Councillors do not recommend the letting then approval will not be granted to the tenant and the Asset Management Team have the option to apply the Community Letting Procedure and advertise the asset to allow other expressions of interest
- On occasion an existing tenant may apply to carry out works to extend the building which they occupy which will require the grant of a supplemental lease. The grant of the supplemental lease will not require the opportunity to be openly advertised under the Community Letting Policy. The decision to grant approval for any extension to the premises and any supplemental lease will be subject to the approval of the Ward Councillors and the Corporate Policy and Resources Committee.
- Prior to applying the Community Letting Policy each individual asset will be looked at in its own right to identify what type of organisation would be suitable for the property (e.g., a small toilet might be suitable for a business or a community use and this will be determined prior to advertising). Ward Councillors will be notified of the intention to advertise the asset to let under the Community Letting Policy. If the asset has the potential for re-purposing the options will be presented to the Ward Councillors to decide on the most appropriate use of the asset. If the re-purposing requires capital expenditure, then further approval may be required under the Council's Constitution. If approval is granted by either the Ward Councillors or the relevant Committee, officers will proceed with the Community Letting Policy Procedure documented in this policy to identify a suitable tenant.
- From time-to-time officers receive requests from members of the public who would like to take a lease of a building or structure which is not in use and/or is in a poor state of repair. This may involve re-purposing the original building for an alternative use. The Corporate Working Group will assess the individual asset to see what type of organisation or use would be suitable for the building and location and what repair

works would need to be undertaken to facilitate such use. The options for re-use or re-purposing and the potential to let the building as a Community Asset will be presented to the Ward Councillors. Ward Councillors will approve the potential use and where the Community Letting Policy applies (i.e. the grant of a lease for 5 years or more) the Community Letting Procedure will apply and the asset will be advertised to invite expressions of interest. The applicant will have an opportunity to apply to the advert. In some circumstance the re-purposing of an asset may require further approval under the Council Constitution.

- Occasionally, the Council may receive applications from third parties or community groups looking to develop a new asset on Council land. New development on recreation grounds or other green open spaces will not be considered. Ward Councillors will be notified of all expressions of interest.
- Occasionally there may be exceptional circumstances which Ward Councillors consider should take precedence over parts of this policy and procedure or there may be circumstances where a letting enquiry does not fit within the scope of the policy. If this is the case, the relevant officer(s) should consult with the Chair and Vice Chair of the Corporate Policy and Resources Committee for a decision. If exceptional circumstances apply then an Exceptional Circumstances Form should be completed and signed providing detailed reasons as to why the policy is not being followed.
- It should be noted that where an asset is located on the ward boundary, Ward Councillors of both wards impacted should be consulted.

6. Policy Ownership and Review

Asset Management will have overall ownership of the Community Lettings policy and procedures. All enquiries regarding the use or development of community assets received by officers or Elected Members will be referred to the Asset Management Team. This is to ensure the enquiry can be processed in line with this policy and procedure and will include cross service evaluation. It should be made clear by officers and Elected Members to all enquiries that community lettings are subject to the policy. Engagement with officers does not constitute consent under the policy. Officers from Community Wellbeing, Neighbourhood Services and any other relevant department will contribute to Stage 1 Assessment Scoring Forms as required. The Officer Panel that has responsibility for making recommendations will consist of the Group Heads for Community Wellbeing, Regeneration and Growth and the Property and Development Manager.

This policy is to be reviewed on an annual basis.

Community Lettings Procedure

This procedure sets out a framework for letting Community Assets. It outlines the stages of the decision-making process plus the assessment criteria and processes at each stage.

STAGE 1 - Advertising available asset and initial application and assessment

The authority will only consider advertising an asset where:

- The Council owns a freehold or long leasehold interest in the property
- It has already undergone assessment for current benefit to community users and value for money using the adopted policy criteria
- It is not already identified in Councils strategies or service delivery plans for future external investment to enhance its current usage. The exception to this would be a proposal that includes the same activity as the current usage e.g., an application could be considered from a football club that wants to make use of a pavilion that has been highlighted for investment in the Councils Playing Pitch Strategy.

Stage 1 Procedure:

Stage 1a

Assets identified for potential Community Letting following the review of the Council's property portfolio will be advertised on the Council's website for a period of 1 month. An indication of the lease and rent terms the Council would be looking for will be posted as part of the advertisement. At the same time as the advert is placed on the website, Council officers will advise Elected Members by email as well as residents associations and any other community groups that the Council may be aware of. Community groups and organisations will be invited to express their interest in leasing the asset by completing a Stage 1 Further Information Form (for an example see **Appendix 1**). The Stage 1 Further Information Form will be available on the website along with the Scoring Matrix Form which they will be scored against (for an example see **Appendix 2**). This will ensure there is full transparency around the process which will be undertaken.

Asset Management will initially assess all Stage 1 enquiries using the 'Further information Form' and 'Stage 1 Scoring Matrix Form' (**Appendix 1&2**). See attached Flow Chart for further details (**Appendix 3**). Where necessary, Community Wellbeing, Neighbourhood Services or other departments will be asked to contribute to provide missing information.

As a result of this initial assessment officers will make recommendations for stage 1b.

There will be 3 key factors to be considered within stage 1 but the individual criteria which expressions of interest will be scored against may vary depending on the asset being advertised.

The Applicant, unless otherwise agreed by the Chairs of Corporate Policy and Resources Committee as part of the pre assessment process should be

- Appropriately constituted, for example, a registered charity, a community interest company or a charitable incorporated organisation, a not-for-profit company; a co-operative, sports club or CASC (Community Amateur Sports Club).
- Community-led, i.e. its governance arrangements must ensure that members of the community are able to influence its operation and decision making processes.

Stage 1 Criteria:

The three key factors to be considered within the Stage 1a Community Letting Policy/procedure criteria are:

- a. The current benefits to the local community provided by the organisation and/or asset versus those to be gained from new or increased access to the community asset.
- b. The alignment of any new usage proposal with the Council's strategic values and objectives.
- c. The impact of the current and/or proposed usage on the sustainability of the asset and service.

Stage 1 assessment of proposals via the Scoring Matrix Form will take into account these factors, considering both the likelihood and impact of failure.

Stage 1b

Those successful at Stage 1a will be assessed by the Corporate Working Group. This group will undertake a basic options appraisal to compare current and proposed usage facts and decide which applications should move to stage 2. Once this process has been completed Asset Management will advise those applicant(s) that have been successful in moving to Stage 2.

Stage 1 will be completed within 4 weeks of the closing date of the advert.

STAGE 2 - Consideration for Community Letting

Stage 2 Procedure:

Stage 2a:

Successful applicants from stage 1 are invited to submit a detailed business plan. The level of detail in the business case will be to a large extent determined by the size of the asset and the community offering being put forward (for example a community café in a disused toilet will require less than an organisation looking to take on a whole community hall). A health and safety questionnaire will also need to be completed where appropriate. These should be submitted by the applicants within 2 weeks of being advised they have advanced to stage 2 of the process. Where this deadline cannot be achieved the applicant should advise the Council why and how long this will take.

Stage 2b:

The business plans and health and safety questionnaires are reviewed by the Corporate Working Group and assessed for a second time. A full financial review will be undertaken by the Finance team.

This process will be completed in 4 weeks. If, as a result of additional requests for information or a large number of business case submissions, this 4-week turnaround cannot be achieved the Council will write and advise all applicants in writing of the date of the extended deadline by which that assessment will be complete

Stage 2 Criteria:

A successful Stage 2 full business case will need to evidence the following criteria:

Community Use

The proposed use of the asset is genuinely for the benefit of the local community and offers real potential for the development of a sustainable, successful, and independent community organisation.

The asset will benefit residents, including less advantaged groups and provide affordable membership costs.

Strategic Direction

The proposed use of an asset reflects the outcomes and objectives of the Council's Corporate Plan and Asset Management Plan.

Local Provision

The application demonstrates that there is supply and demand for the service and no surplus duplication within the local area.

Finance

The applicant provides a business plan that demonstrates:

- Value for money for the Council
- Security /sustainability of service to ensure continued utilisation and prevention of anti-social behaviour
- An ability to maintain and manage the building to a high standard and complying with all statutory regulations and other terms in the lease

STAGE 3 – Community Letting Recommendation

These assessments will be used to determine if there is a suitable applicant which the Corporate Working Group can recommend. If there is a suitable applicant, a report including the Stage 1 Scoring Matrix Form, the relevant business case, health and safety questionnaire and officer recommendation will be made to the Chair and Vice Chair of the Corporate Policy and Resources Committee providing the matter falls within the office of delegations under the Constitution. Where Committee authority is required under the Constitution, Council officers will submit a report to the Corporate Policy and Resources Committee for consideration.

The successful applicant will be notified in writing on the decision of the Council and liaison will then take place with the Assets and Legal teams on drawing up the necessary legal documentation including heads of terms. If the Community Asset is within a public open space, further advertising requirements will need to be observed to comply with public open space legislation before a letting is finalised.

ELECTED MEMBER INVOLVEMENT

Requests or approaches received by an Elected Member relating to any Community Asset will need to be referred directly to the Assets team as they need to have full sight of every potential opportunity that has come to the Council no matter by what route. It will then be for the Assets team to manage the process in accordance with the policy.

Where an Elected Member has had any personal involvement, this will be recorded on the stage 1 Scoring Matrix Form which will be considered by the Committee or Chairs and Vice Chairs as required at stage 3. Elected Members with such involvement will not be party to the final decision-making process.

REVIEW PROCESS

All those unsuccessful applicants who reached stage 2 will then be notified that they have not been successful. Any applicants not satisfied with the final decision will need to contact the Council and go through the Councils Corporate Complaints Procedure
<https://www.spelthorne.gov.uk/article/16560/Comments-compliments-and-complaints>

APPENDICES

Appendix 1: Stage 1 Further Information Form

Appendix 2: Stage 1 Scoring Matrix Form

Appendix 3: Flow Chart for the Community Letting Procedure

Appendix 4: Community Letting Flow Charts

Appendix 5: Community Letting Policy Tenant Scorecard



COMMUNITY LETTINGS POLICY
STAGE 1 – EXAMPLE FURTHER INFORMATION FORM
This will be amended depending on the asset to which it relates

In order to assess your initial usage enquiry for a Council owned asset, please provide more information on your organisation, your users, and how your long term usage would align with the Council's strategic values and objectives as set out in the guidance notes at the end of this document.

We will use this information to assess against our key criteria and will inform you if your enquiry passes the Stage 1 assessment. **Organisations will need to answer all questions below. The Council will not be able to assess incomplete forms.**

1.	Community Use
	<u>About your organisation:</u>
1.1	What is the name of your club/organisation?
1.2	How long has your club / organisation been running?
1.3	<p>Please provide contact details for 2 members of your club / organisation</p> <p>Primary contact</p> <p>Name:</p> <p>Address:</p> <p>Contact number:</p> <p>Email:</p> <p>Alternative contact</p> <p>Name:</p> <p>Address:</p> <p>Contact number:</p>

	Email:
1.4	What is your organisations legal entity and current governance? Please attach evidence in form of proof of charity status or trading number where applicable.
1.5	What service/activity does your organisation currently provide or intend to provide?
1.6	What does your organisation intend on using the council asset for?
1.7	What length of lease are you seeking?
1.8	What is the reason for your interest in this Council owned asset? e.g. lease ending in current site.
1.9	How many hours per week would you be wanting to make use of the asset? Please provide: <ul style="list-style-type: none"> - days of week - times
	<u>About your members/service users:</u>
	How many members/current service users do you have?
1.10	How many of your members/users are Spelthorne residents?
1.11	How many projected members/service users do you expect over the next:
1.12	12 months: 2 years: 5 years: What impact would acquisition of the Council asset have on the figures in 1.12 and your organisations activities?
1.13	
1.14	What is the cost of any membership to local residents – do you offer concessions? Are your rates affordable to your service users?

1.15	Are less advantaged groups users of your service? If yes, what percentage of users are from less advantaged groups?
1.16	
2.	Strategic Objectives
2.1	<p><u>Benefits of usage</u></p> <p>If you were to use this facility, what benefits would the local people receive from your service? Please refer to the Council's strategic values and objectives in the guidance notes and explain how your benefits relate to these.</p> <p>Corporate Plan:</p> <p>Health and Wellbeing Strategy:</p> <p><u>Benefits to asset</u></p>
2.2	Please provide any benefits that the Council's asset would receive from your usage. We are interested in how your usage would impact on the sustainability of the asset:
2.3	Would your organisation be willing take on responsibility for repairs and maintenance? Please provide details including any previous experience of managing an asset.
2.4	What effect would the presence of your organisation within the asset have on anti-social behaviour?
2.5	Has your organisation secured any funding that could benefit the asset?

2.6	Does your organisation link with a funding partner who is interested in investing in the asset or receive advisory support from relative organisation?
3.	Local Provision
3.1 3.2	Please confirm if you are aware of any other similar organisations operating in Spelthorne or in the locality of the asset?
3.3	<p>Please provide evidence that there is a local need and/or community support for your services acquisition of this asset.</p> <p>Do you currently operate a waiting list for your service and if so how many people are listed?</p>
4.	Declaration of interest
	<p>The Council has a duty to consider any situation in which staff personal interests, or interests that owe staff to another body or person, may (or may appear to) influence or affect the Council's decision making. Please therefore answer the following questions:</p>
4.1	Is your club/organisation receiving any political interest and or support from local Councillors?
4.2	Are you or any of your committee members related to a member of staff at the Council or a Councillor?
4.3	Are you or any of your committee members self-employed and contractually obliged to provide goods or services to a member of staff or Councillor at the Council?

5	Additional information
	<p>Please supply any additional information that you think might be of interest to the scoring panel.</p>

Guidance Notes:

Spelthorne Borough Council's Strategic Plans

The Council's Corporate Plan sets out four main priorities.

Housing

Key aim: To strive towards meeting the housing needs of our residents, providing working families and others in housing need within the Borough with suitable accommodation.

Economic Development

Key aim: To stimulate more investment, jobs and visitors to Spelthorne to further the overall economic wellbeing and prosperity of the Borough and its residents.

Clean and Safe Environment

Key aim: To provide a place where people want to live, work and enjoy their leisure time and where they feel safe to do so.

Financial Sustainability

Key aim: To ensure that the Council can become financially self-sufficient in the near future.

Spelthorne Health and Wellbeing Strategy

Asset Management Plan

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STAGE 1 - SPELTHORNE COMMUNITY ASSET – SAMPLE SCORING MATRIX FORM

Name of community organisation, representative or Councillor expressing interest: _____

Name of Asset /Premise: _____

Decision to move to STAGE 2?: Yes/No

Definitions:

Community use – use which has the primary purpose of serving the community

Community letting = long term lease.

Community Asset = Council owned buildings and or land.

1.	Community Use	Points 2	Points 4	Points 6	Points 8	Score
	About your organisation:					
	Evidence of organisations legal entity and current governance.	No governance.	Work in progress	Evidence pending	Evidence provided	
	What length of lease is the organisation seeking	For info – non scoring				

	What is the proposed usage of the asset? Measurement(s) – 7 days a week 4 pm to 8 pm	10-40% available hours	40-50% available hours	50-60% available hours	100% available hours	
	Is the asset in a less advantaged ward?	For info – non scoring				
	About your members:					
	How many members/current service users do they have? (relative to the service)	0-10	11-30	31-60	61+	
	How many members/service users are residents?	25% Small percentage	26% - 50%	51% - 75%	76 – 100% Large percentage	
	How many projected members/service users do they expect over the next: 1,2 and 5 years.	No increase	Small increase	Double numbers	More than double	
	Is the cost of membership affordable to service users?	High cost upfront cost	Medium upfront cost	Low upfront cost	No membership – low cost pay as you go	
	Are diverse/less advantaged groups users of their service? What percentage of users are from less advantaged groups?		Less than 50%	40% to 75%	75% to 100%	
	Is evidence provided to demonstrate the local need / community support for their acquisition of the asset	No evidence	Minimal evidence	Good evidence to demonstrate local need and community support	Strong evidence to demonstrate local need and community support	
	Subtotal	/72				

2.	Strategic Objectives	Points 1	Points 2	Points 3	Points 4	Score
	Community benefits of usage:					
	Alignment with Council objectives in Corporate Plan?	Tenuous link to one theme	Partially supports one theme	Supports one theme and partly supports others	Supports More than one Corporate Plan Theme	
	Alignment with Council Community, Health and Wellbeing plans?	No links	Partial links to one theme	Links to one theme	Evidence of more than one theme	
	Prioritised within current Service Delivery Plans? (internal input)	Not listed		Listed in draft future service plan	Yes prioritised for specific purpose	
	Perceived benefit to asset/Council:					
	Would organisation be willing take on repair and maintenance?	No responsibility for repairs or maintenance.	Keeping clean, tidy and complying with statutory maintenance requirements only	Internal repairs and maintenance.	Full internal and external repairs and maintenance	
	What experience does the organisation have in maintaining an asset?	None	Some experience within the building trades.	Previous involvement with managing property.	Professional experience and/or previous property management experience.	

	Would presence of organisation reduce anti-social behaviour?	No change		Partly	Significantly	
	Has the organisation secured funding?	No funding applications made	Applications made but no funding secured	Application approved	Secured funding	
	Does organisation receive advisory funding support from relative organisation?	No support			Yes	
	Subtotal	/32				

3.	Local provision	4	8	12	16	Score
	Does the current provision in the borough cater for the demand?	Yes	Equal	No – short wait lists	No- long wait lists	
	Has the organisation demonstrated community support for their organisation?	No			Yes	
	Subtotal	/32				

4.	Declaration of interest	Non- scoring- for information				
	Political interest from local Councillors?					

	Committee members related to a member of staff or Councillor?	
	Committee members contractually obligated to provide self-employed goods or services to any member of staff or Councillor?	

5.	Supporting Information /Additional considerations	-10	-5	0	+5	+10
	Comments:					

6.	Total Score	/146				
	Total as a percentage					
	Proceed to stage 2??	YES/NO				

Scored by:

Signed:

Date:

Approved by:

Signed:

Date:

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Stage 1

Stage 2

Stage 3

Asset Advertised
for 1 month

Stage 1a –
Information form
completed by
interested
organisations

STAGE 1a - FURTHER INFORMATION FORM INITIAL ASSESSMENT

Officers from Asset management will assess all stage 1 information forms. Officers from Community Wellbeing, Neighbourhood Services or other departments may be asked to contribute. Following initial assessment against scoring matrix officers will recommend applications to Corporate working Group for stage 1b.

STAGE 1b – FURTHER INFO ASSESSMENT PANEL ASSESSMENT

Corporate Working Group will view the scoring from Stage 1a and decide which should move to stage 2.

Successful Stage 1 applicants are asked to submit a business case and complete a Health & Safety Questionnaire.

STAGE 2a

A robust objective review is undertaken by the Corporate Working Group and Finance team. If there is a suitable applicant identified to let the community asset a recommendation is made to Ward Councillors and Chair and Vice Chair of Corporate Policy & Resources Committee at stage 3.

STAGE 3

The Chair and the Vice Chair of the Corporate Policy and Resources Committee will receive a officer recommendation report regarding the asset. A final decision is then made on whether to let the asset to the recommended organisation. Approval granted by Chair and Vice Chair of Corporate Policy & Resources Committee.

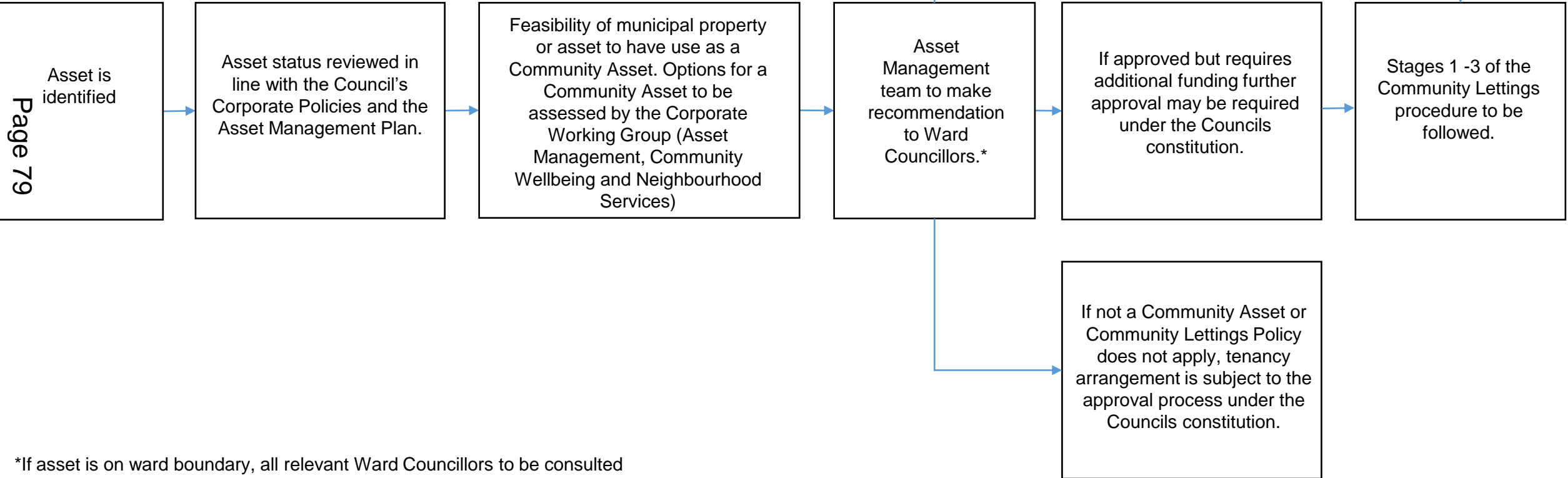
Unsuccessful
applicants are
notified

Successful
Applicant

Successful applicant notified
and legal documentation
drawn up including heads of
terms

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Flow chart following Asset review

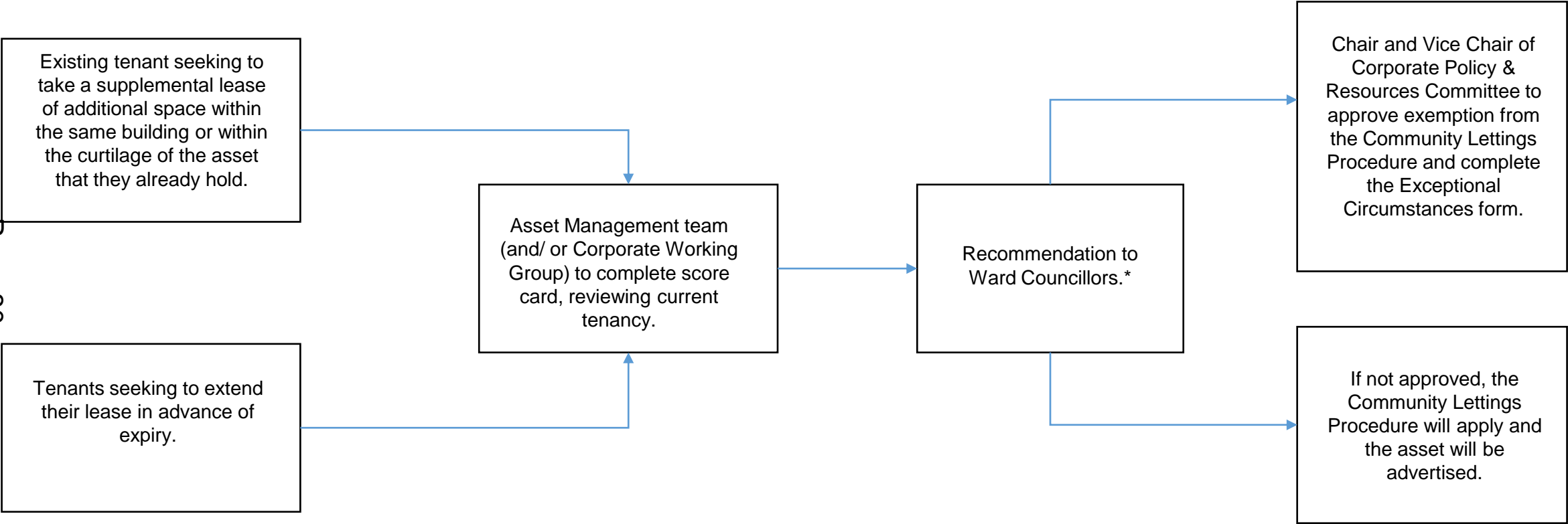


*If asset is on ward boundary, all relevant Ward Councillors to be consulted

The Community Lettings Policy only applies to leases 5 years or more. Other tenancy arrangements and for leases under 5 years are subject to the Councils constitution and the relevant officer delegations.

Flow chart for existing tenants

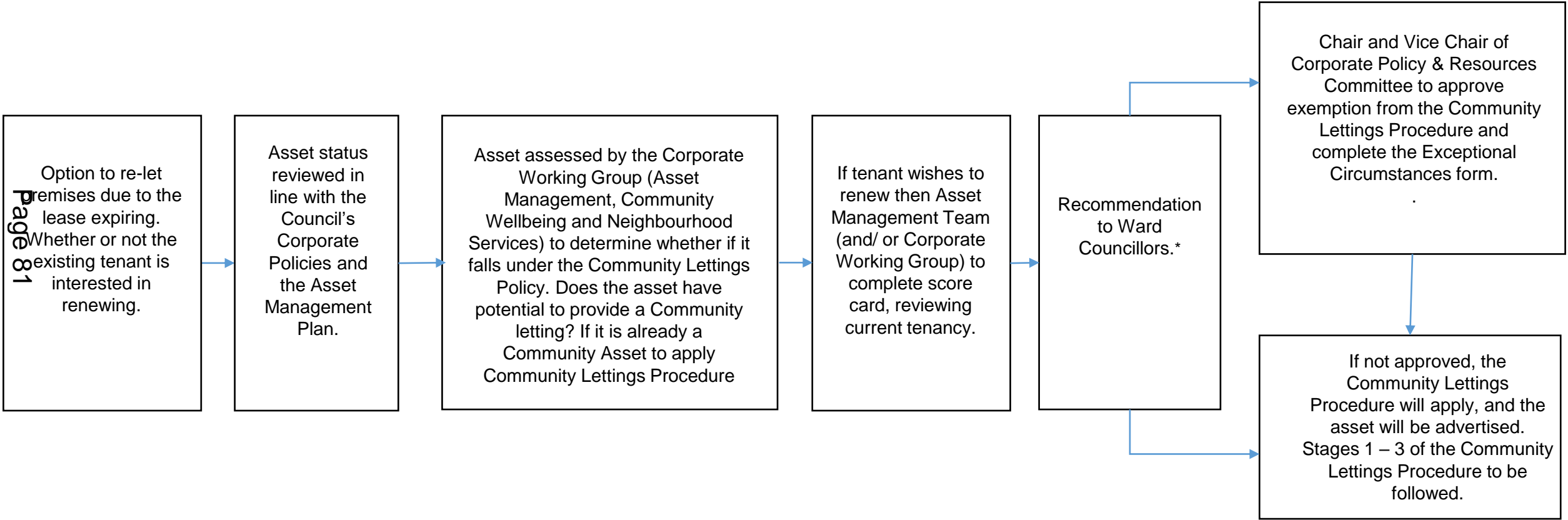
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*If asset is on ward boundary, all relevant Ward Councillors to be consulted

The Community Lettings Policy only applies to leases 5 years or more. Other tenancy arrangements and for leases under 5 years are subject to the Councils constitution and the relevant officer delegations.

Flow chart following lease expiry



*If asset is on ward boundary, all relevant Ward Councillors to be consulted

The Community Letting Policy only applies to leases 5 years or more. Other tenancy arrangements and for leases under 5 years are subject to the Councils constitution and the relevant officer delegations.

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Community Letting Policy

Tenant score card

1) Rent payment History.

Comment on arrears position and payment frequency.

--

Score out of 5

2) Compliance with lease terms.

Comment on standard of repairs, maintenance, Health & Safety compliance and use.

--

Score out of 5

3) Community use.

Comment on the need and the demand of the services provided by the tenant.

--

Score out of 5

4) Occupancy level.

Comment on how many days/ hours per week the property is being used.

--

Score out of 5

5) Tenant funded alterations.

Comment on any improvements or alterations that the tenant has made during the term of the lease.

--

Score out of 5

6) Landlord and tenant relations.

Comments on the relationship between the landlord and tenant including correspondence.

--

Score out of 5

7) Tenant and neighbour relations.

Comment on the relationship between the tenant and local residents including any disputes.

--

Score out of 5



Signed
Asset Manager

Date.....

Checked
Group Head of Assets

Date

Reviewed by Ward Councillors

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