

**To:**  
**All members of the**  
**Audit Committee**

*Please reply to:*  
Contact: Kirsty Hunt  
Service: Committee Services  
Direct line: 01784 446224  
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Date: 15 May 2026

## Supplementary Agenda

### **Audit Committee - Tuesday, 19 May 2026**

Dear Councillor

I enclose the following items which were marked 'to follow' on the agenda for the Audit Committee meeting to be held on Tuesday, 19 May 2026:

#### **4. Governance Assurance Register update**

**3 - 40**

To note the overall assurance level for the 12 Governance Assurance Areas, which will form the new Governance Assurance Register and review the following six Governance Assurance Areas:

- Ensuring an inclusive and prosperous economy
- Ensuring we address affordable housing supply and demand to meet local need
- Ensuring the Council has robust mechanisms in place to prepare for, respond to and recover from emergencies and business interruptions
- Ensuring we meet our Equality, Diversity and Inclusivity duties and responsibilities
- Ensuring the Council's financial management and long-term planning arrangements are effective to secure financial sustainability
- Ensuring there are effective governance arrangements in place to deliver the IRP

**Spelthorne Borough Council, Council Offices, Knowle Green**

**Staines-upon-Thames TW18 1XB**

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Yours sincerely

Kirsty Hunt  
Corporate Governance

To the members of the Audit Committee

Councillors:

J. Button (Chair)  
K. Howkins (Vice-Chair)  
G. Neall

L. E. Nichols  
H.R.D. Williams  
P.N. Woodward

R. Chandler  
P. Briggs

Substitute Members:      Councillors: C. Bateson, J.R. Boughtflower and T. Burrell



**Committee Report Checklist**

Please submit the completed checklists with your report. If final draft report does not include all the information/sign offs required, your item will be delayed until the next meeting cycle.

**Stage 1**

**Report checklist – responsibility of report owner**

ITEM	Yes / No	Date
Councillor engagement / input from Chair prior to briefing	Y	13/05/26
Relevant Group Head review	Y	21/04/26
MAT+ review (to have been circulated <b>at least 5 working days before Stage 2</b> )	Y	21/04/26
This item is on the Forward Plan for the relevant committee	Y	21/04/26
	<b>Reviewed by</b>	
Finance comments (circulate to Finance)		
Risk comments (circulate to Lee O’Neil)	LO	06/05/26
Legal comments (circulate to Legal team)	LH	11/05/26
HR comments (if applicable)		

For reports with material financial or legal implications the author should engage with the respective teams at the outset and receive input to their reports prior to asking for MO or s151 comments.

Do not forward to stage 2 unless all the above have been completed.

**Stage 2**

**Report checklist – responsibility of report owner**

ITEM	Completed by	Date rec’d
Monitoring Officer commentary – at least <b>5 working days before MAT</b>	L Heron	11/05/26
S151 Officer commentary – at least <b>5 working days before MAT</b>	T.Collier	12/05/26
Commissioner engagement	L O’Neil	15/05/26
	Delete as applicable:	Comments in S. 7
Confirm final report cleared by MAT		

# Audit Committee

19 May 2026

<b>Title</b>	Governance Assurance Register update
<b>Purpose of the report</b>	To inform and assure
<b>Report Author</b>	Lee O’Neil, Deputy Chief Executive
<b>Ward(s) Affected</b>	All Wards
<b>Exempt</b>	No
<b>Exemption Reason</b>	Not applicable
<b>Corporate Priority</b>	Community Addressing Housing Need Resilience Environment Services
<b>Recommendations</b>	<p><b>Committee is asked to:</b> Committee is asked to:</p> <p>a. Consider the further progress with the implementation of a new Governance Assurance Framework and Policy.</p> <p>b. Consider the overall assurance level for the 12 Governance Assurance Areas, which will form the new Governance Assurance Register (<b>Appendix A</b>).</p> <p>c. Review the six Governance Assurance Areas which will be presented for review at this meeting of the Committee (<b>Appendix B</b>), and</p> <p>d. Provide comments on any suggested improvements necessary to provide assurance that key governance areas of the Council are being addressed effectively.</p>
<b>Reason for Recommendation</b>	To ensure that the Audit Committee is satisfied that the proposed Governance Assurance Areas and Register will provide continual assurance that the Council is managing its key governance areas effectively.

**1. Executive summary of the report** *(expand detail in Key Issues section below)*

What is the situation	Why we want to do something
<ul style="list-style-type: none"> <li>As part of ongoing improvements to the Council’s Risk Management arrangements</li> </ul>	<ul style="list-style-type: none"> <li>The change to a governance assurance approach forms part of a range of</li> </ul>

the authority has moved to a governance assurance-based approach.	improvements to the Council’s risk management arrangements following comments received in a number of external reviews.
<b>This is what we want to do about it</b>	<b>These are the next steps</b>
<ul style="list-style-type: none"> <li>A new Governance Assurance Framework and Policy have been approved. A new Governance Assurance Register developed to replace the previous Corporate Risk Register for consideration by the Audit Committee.</li> </ul>	<ul style="list-style-type: none"> <li>The Committee is asked to note the 12 Governance Assurance Areas and review the 6 areas which will be considered in detail at this Committee. The other 6 areas will be considered at the next Meeting of the Committee on 23 June.</li> </ul>

## 2. Key issues

- 2.1 In response to recommendations made in the Best Value Inspection and Grant Thornton’s External Audit of this authority, the Council has been improving its risk management arrangements, moving to a new Governance Assurance-based approach. A new Governance Assurance Framework and Policy was approved by Corporate Policy and Resource Committee on 19 January 2026.
- 2.2 This new approach focuses on the effectiveness of the Council’s governance and control arrangements, ensuring that this authority can deliver its objectives and corporate and service responsibilities in a more positive way, and that stakeholders receive sufficient assurance that appropriate arrangements are in place.
- 2.3 The new approach is designed to give the Audit Committee confidence and assurance that the Council’s governance arrangements are effective and being complied with and identifies practical actions to provide and maintain that confidence and assurance. Work has been progressing developing all the necessary supporting documentation, including how the Council will capture and manage its key areas of assurance, the assessment process, roles and responsibilities, and how and where this will be reported.
- 2.4 As part of that work, the Council’s previous Corporate Risk Register has been adapted and aligned into a new Governance Assurance Register focusing on 12 key areas of assurance. Whilst this work has been undertaken, risk owners have continued to maintain an oversight of key risks during the transition process.
- 2.5 As part of the development of the new approach, training has been provided to key officers and Members outlining how the new approach had been developed, how it would operate in practice, and the format of reports to be received by both the Audit Committee and Service Committees. To date 49 officers and 24 Councillors have attended the training provided by the Council’s external governance assurance/risk management advisor, Rob Winter.
- 2.6 Group Heads have engaged positively with the process and devoted appropriate time to providing the required information. Senior managers and

other officers have also contributed, enabling the assurance system to be populated effectively.

- 2.7 Senior Management (MAT+) have considered all 12 governance assurance areas for moderation and quality control, ensuring ownership at the top of the organisation.
- 2.8 **Appendix A** shows the 12 Governance Assurance Areas which form the basis of the new Governance Assurance Register, with the overall assurance level assessment shown as **low**, **medium** or **high**.
- 2.9 **Appendix B** provides the Governance Assurance Reports for the 6 Governance Areas which the Committee is asked to review and comment on for this meeting. These cover:
- (a) Ensuring an inclusive and prosperous economy
  - (b) Ensuring we address affordable housing supply and demand to meet local need
  - (c) Ensuring the Council has robust mechanisms in place to prepare for, respond to and recover from emergencies and business interruptions
  - (d) Ensuring we meet our Equality, Diversity and Inclusivity duties and responsibilities
  - (e) Ensuring the Council's financial management and long-term planning arrangements are effective to secure financial sustainability
  - (f) Ensuring there are effective governance arrangements in place to deliver the IRP
- 2.10 The Committee will be asked to review and comment on the remaining 6 Governance Areas at the next meeting of the Committee on 23 June 2026.
- 2.11 A timetable outlining the dates for future updates is provided in **Appendix C**, which also includes the scheduled updates for service Committees.

### **3. Options appraisal and proposal**

- 3.1 **Option 1 (preferred option)** Committee is asked to:
- (a) Consider the further progress with the implementation of a new Governance Assurance Framework and Policy.
  - (b) Consider the overall assurance level for the 12 Governance Assurance Areas, which will form the new Governance Assurance Register (**Appendix A**).
  - (c) Review the six Governance Assurance Areas which will be presented for review at this meeting of the Committee (**Appendix B**), and
  - (d) Provide comments on any suggested improvements necessary to provide assurance that key governance areas of the Council are addressed effectively.
- 3.2 **Option 2** – The Committee could propose an alternative approach.

#### **4. Governance and risk considerations**

- 4.1 The Council's Governance Assurance Register outlines the authority's governance arrangements in place to provide assurance that key corporate and strategic risks impacting the authority are effectively managed. The change to a governance assurance approach through a new Framework and Policy together with training and monitoring will ensure that effective governance is embedded within the culture of the organisation.

#### **5. Financial implications**

- 5.1 The development and implementation of the new Governance Assurance Framework and the Governance Assurance Register can be delivered within existing resources. Any minor costs relating to ongoing staff training, development of supporting documentation, and updates to reporting systems will be met from current service budgets. Over time, strengthening the Council's governance assurance arrangements is expected to support more effective financial planning and help mitigate the likelihood of unanticipated financial pressures arising from weakness or failures in governance.

#### **6. Legal comments**

- 6.1 The Accounts and Audit Regulations 2015 require the Council to have "...a sound system of internal control which... includes effective arrangements for the management of risk" (section 3(c)).
- 6.2 The implementation and ongoing development of a governance assurance framework for managing risks supports the Council in discharging its statutory duty.

### **Corporate implications**

#### **7. Commissioners' comments**

- 7.1 Commissioners note that this is the first report on the revised governance assurance framework and recognise that the application of the framework will take some time to bed in. That said, Commissioners' view is that the reporting captured in this iteration still contains a significant degree of optimism bias. They would like future reporting to show a more robust critical self reflection identifying better where areas of risk or weakness lie, the extent of such risks or weakness and the appropriate mitigation measures which will be taken to improve assurance.

#### **8. S151 Officer comments**

- 8.1 The S151 Officer confirms that all financial implications are taken into account and recognises that good governance assurance helps support good value for money outcomes for taxpayers.

#### **9. Monitoring Officer comments**

- 9.1 The Monitoring Officer confirms that the relevant legal implications have been taken into account.

#### **10. Procurement comments**

- 10.1 There are no procurement implications arising directly from the recommendations in this report.

## **11. Equality and Diversity**

- 11.1 The revised Governance Assurance Register incorporates a specific Governance Assurance Area specifying how the Council ensures the effective discharge of the Council's responsibilities and duties relating to Equality, Diversity and Inclusion.

## **12. Sustainability/Climate Change Implications**

- 12.1 The revised Governance Assurance approach incorporates a specific Governance Assurance Area covering how the Council discharges its responsibilities with respect to its zero carbon targets and wider environmental responsibilities.

## **13. Other considerations**

- 13.1 The Audit Committee's key role in relation to risk management, governance and internal control is to consider the effectiveness of the Council's arrangements for these including overseeing the relevant policies and strategies and crucially being assured that key governance areas are owned and managed appropriately.
- 13.2 Service Committees will now have greater visibility and responsibility under the new arrangements to scrutinise the detailed governance assurance registers of their respective Departments and Services, ensuring greater accountability for the effective management of risk and their governance responsibilities. Governance owners will be required to provide regular updates to their appropriate Service Committees on any key risks relating to their overview areas. The proposed timetable for these updates is shown in **Appendix C**.
- 13.3 As with adopting and embedding the governance assurance approach for the Audit Committee, it will inevitably take some time to fully integrate the new processes across all Committees. An audit of progress and compliance with the new Governance Assurance arrangements will be undertaken by the Council's external Governance Assurance/Risk Management advisor by the end of August 2026.

## **14. Timetable for implementation**

- 14.1 Subject to comments from the Audit Committee the Council's Governance Assurance Register will take effect immediately.
- 14.2 The next 6 Governance Assurance Area reports will be presented to the Audit Committee on 23 June 2026, with the programme of Service Committee updates progressing in accordance with the timetable outlined in **Appendix C**.

## **15. Contact**

- 15.1 Lee O'Neil – Deputy Chief Executive (l.o'neil@spelthorne.gov.uk)
- 15.2 Rob Winter ([robwinter.argc@gmail.com](mailto:robwinter.argc@gmail.com))

***Please submit any material questions to the Committee Chair and Officer Contact by two days in advance of the meeting.***

**Background papers: There are none.**

**Appendices:**

**Appendix A:** Table outlining the overall assurance level for the 12 Governance Assurance Areas making up the Council's Governance Assurance Register.

**Appendix B:** The six Governance Assurance Areas to be considered in detail by the Committee at this meeting.

**Appendix C:** The proposed programme of when the governance assurance areas will be presented to the Audit Committee and the relevant Service Committees.

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**APPENDIX A - Spelthorne BC Governance Assurance Register – Assurance Monitoring (overall level of assurance)**

	Governance Assurance area	Assurance Level						
		19/05/26	23/06/26	23/07/26	24/09/26	26/11/26	28/01/27	04/03/27
1	Ensuring an inclusive and prosperous economy	M						
2	Ensuring we address affordable housing supply and demand to meet local need	M						
3	Ensuring the Council has robust mechanisms in place to prepare for, respond to and recover from civil emergencies and business interruptions	H						
4	Ensuring and maintaining our Organisational Resilience	M						
5	Ensuring we meet our Equality, Diversity and Inclusion (EDI) duties and responsibilities	M						
6	Ensuring our programme and change management arrangements are effective to support the successful transition to the new unitary council.	H						
7	Ensuring we meet our zero carbon targets and wider environmental responsibilities	M						
8	Ensuring the Council’s financial management and long-term planning arrangements are effective to secure financial sustainability	M						
9	Ensuring there are effective governance arrangements in place to deliver the IRP	M						
10	Ensuring effective Procurement and Contract Management arrangements	M						
11	Ensuring our arrangements against the threat of fraud and maintaining assurance that our anti-fraud arrangements are robust and effective	M						
12	Ensuring our arrangements to for Cyber Resilience and manage the threat of a cyber-attack are effective,	M						



APPENDIX B – THE SIX GOVERNANCE ASSURANCE AREAS TO BE CONSIDERED AT THE 19 MAY 2026 AUDIT COMMITTEE



Spelthorne Borough Council - Corporate Assurance Register



**Assurance Area**

Ensuring an inclusive and prosperous economy

**Assurance Description**

An inclusive, prosperous local economy is critical for a thriving community. The Council works closely with local businesses to support their sustainability and helps those looking for work improve their skills and find employment. The Council therefore needs to ensure it has effective partnership working arrangements in place to maximise its contribution to the sustainable growth of the local economy. The BIG Committee will monitor the details of the how the various initiatives are working.

**Assurance Assessment**

Without clear and transparent governance, businesses and residents could lose confidence in the support provided by the Council. Trust is key to inclusive growth. This can mean

- \* there are inadequate safeguards to monitor the distribution of resources to those in need.
- \* residents of marginalised communities are excluded from opportunities to improve their skills and employment prospects
- \* oversight, scrutiny and accountability frameworks fail to provide effective mechanisms of resource distribution, resulting in a failure to deliver best value.

**Assurance Committee**

Business, Infrastructure and Growth Committee

**Assurance Owner**

Heather Morgan

**Focus/Issue/Concern**

Focus

**High/Medium/Low**

**Assurance Actions**

Title	Description	Purpose/Outcome	Action Owner/Job Title	Comp/ Review Date	R/A/G/B	Status	Corrective Action	Governance Theme
Establish a Business Engagement Framework	Theme 1 - Supporting Business Sustainability By engaging directly with businesses, we gain insight into the challenges and opportunities they face and can provide targeted support, either by helping to identify solutions or by signposting them to appropriate organisations. Many businesses are not fully aware of how the Council can support them in realising growth and development opportunities.	Establishing a Business Engagement Framework provides a clear, consistent approach to how the Council engages with businesses. It ensures effective communication, improves understanding of business needs and opportunities, and enables the Council to coordinate support, and provide signposting and interventions that help businesses grow, innovate, and overcome challenges. Action will be prioritised by company size and industry sector. Local businesses are resilient, well supported, and able to grow sustainably.	Chris Norrington-Economic Development Manager	6/30/2026	<b>Amber</b>	A formal business engagement framework is a structured way to manage how Economic Development interacts with its stakeholders.  The framework will be produced but due to a lack of resource, it is not likely to be formally introduced this year.  The team is engaging with businesses both through its work through the business growth service, with stakeholders such as Visit Staines, Ashford Wide and the Spelthorne Business Forum as well as directly in its work with Spelthorne Business Awards applicants and with the stakeholders associated with	N/A	Partnerships and collaboration governance

						the Ashford BID.		
Provide a comprehensive support service for the business community	Deliver business support and advice through the Business Spelthorne platform and partners.	Delivering business support and advice through Business Spelthorne provides a clear, trusted, and coordinated approach to engaging with local businesses and creates a single, recognisable point of contact. This helps businesses to better understand what support is available and how the Council and its partners can assist them. Delivering business support through Business Spelthorne aligns business engagement, intelligence gathering, and support delivery within a single framework. This ensures businesses receive timely, relevant support while enabling the Council to take a more strategic, proactive, and evidence-led approach to supporting the local economy.	Chris Norrington-Economic Development Manager	6/30/2026	<b>Green</b>	ED is supporting 61 businesses that have signed up to the Business Growth Service as of 31 March.  Monthly newsletter sent communicating support opportunities to businesses. 1200 on the database with an average of 850 open clicks.  Website launched end of November and Business Growth Service launched beginning of January. Outputs/ KPIs to be reported to BIG quarterly.	N/A	Partnerships and collaboration governance
Promote local supply chains	Work with Procurement & "Source in Surrey" to promote local supply chains to local businesses.	Promoting local supply chains makes economies stronger, fairer, and more resilient, especially at the community level - and helps to: * Boost the local economy * Improve resilience and reliability * Supports small and medium-sized businesses * Reduce environmental impact * Strengthen community relationships * Keep skills and knowledge local * Enhances economic inclusion * Increase economic sovereignty Promoting local supply chains keeps value, jobs, and expertise close to home while making the economy more resilient and sustainable.	Chris Norrington-Economic Development Manager	6/30/2026	<b>Amber</b>	Update: In March and April, 2 events jointly held with Source in Surrey attended by approx. 60 businesses. A third event, a buyer/ supplier exchange event to be held on 20 May in Staines. Heathrow Airport, Royal Holloway, Runnymede & Spelthorne and Vision Engineering procurement professionals will be present.  Working with Source in Surrey (an AI driven Business to Business procurement platform), we are supporting events in Spelthorne in March and April. Will work with Procurement colleagues to prioritise Council spend is local, measured and consistent between departments.	Promotion has started and the service will be launched late spring	Procurement and contract management
Skills partnerships	Theme 2 - Improving Skills & Employment Work with colleges, universities, and training providers to align courses with local employer needs.	A skills partnership with colleges, universities, and training providers matters because it connects education to real jobs and thereby: - Closes the skills gap - Improves employability and job outcomes - Strengthens the local economy - Keeps education responsive and future-focused - Creates clearer career pathways - Maximizes public and private investment - Supports equity and inclusion Effective Skills Partnerships turn education into a strategic tool for workforce development—benefiting students, employers,	Chris Norrington-Economic Development Manager	6/30/2026	<b>Green</b>	The Council is represented on the Brooklands College Skills Board to identify local business skills needs that the college will seek to supply. We also have a Jobs & Skills Partnership Board that considers training demand from residents. Training can be accessed via our training provider, Step Surrey (Surrey County Council employability	N/A	Partnerships and collaboration governance

		and the entire community at the same time.				<p>support).</p> <p>We are also represented on the Local Skills Improvement Partnership working group to discuss business skills gaps with training providers and colleges.</p> <p>Update: The Brooklands College Skills Board was cancelled.</p> <p>The Jobs &amp; Skills Partnership Board met in April and agreed to provide metrics to show a wider picture of support in Spelthorne.</p> <p>Officers attended the Local Skills Improvement Partnership meeting formulating and contributing to a future Skills Gap Strategy for Surrey.</p>		
Employment Support Programmes	Offer job fairs, apprenticeships, and targeted schemes for NEETs (16-24 year olds Not in Education, Employment, or Training).	<p>Establishing an employment support programme that offers job fairs, apprenticeships, and targeted schemes for NEETs is important for economic and social reasons and especially for supporting individuals at risk of exclusion from the labour market.</p> <p>Employment support programmes for NEETs transform disengagement into opportunity—benefiting individuals, employers, and society as a whole.</p>	Chris Norrington-Economic Development Manager	6/30/2026	<b>Green</b>	<p>Update: 2526 - the hub supported 725 residents including Workwell and the DWP contract. Workwell contract has now ended, the hub supported 176 residents through this specific contract in 25/26.</p> <p>DWP contract supported: Collaboration with DWP Job fair in May 2026.</p> <p>The Jobs &amp; Skills Hub delivers targeted employability support to DWP referred 16-24 year olds.</p> <p>The Hub also supports residents through other schemes such as Workwell and Connect to Work, and collaborates with DWP and other partners to deliver job fairs.</p> <p>It also promotes apprenticeships alongside Brooklands College and promotes Surrey County Council's, Set Surrey and other targeted schemes.</p>	N/A	Partnerships and collaboration governance

						Employment support programmes for NEETs transform disengagement into opportunity—benefiting individuals, employers, and society as a whole.		
Upskilling Initiatives	Support digital skills, green jobs, and vocational training to meet future workforce demands.	As skills demands in the workforce are changing faster than people can keep up without support, upskilling initiatives are one of the most effective ways to future-proof workers, employers, and the economy and is especially important for digital skills, green jobs, and technological and vocational skills. <ul style="list-style-type: none"> <li>- Technology is reshaping jobs (digital skills)</li> <li>- The green transition needs new skills fast (green jobs)</li> <li>- Vocational training aligns education with real jobs</li> <li>- It boosts employability and job mobility</li> <li>- It supports inclusive and sustainable growth</li> </ul> Providing upskilling initiatives is essential because it: <ul style="list-style-type: none"> <li>- Prepares workers for future jobs</li> <li>- Helps businesses stay competitive</li> <li>- Supports a fair green transition</li> <li>- Aligns education with real labour market needs</li> </ul>	Julia Owen-Senior Economic Development Officer	6/30/2026	Green	Update: Continue to provide in March/April Digital courses Over 45s support courses, CSCS (construction skills Certification Scheme) courses  Currently providing digital courses to Jobs & Skills customers Business Spelthorne provides a free digital training platform Work with Brooklands College to promote vocational courses to residents.	N/A	Partnerships and collaboration governance
Inclusive employment	Collaborate with Jobcentre Plus and community organisations to reach disadvantaged groups.	Collaboration seeks to: <ul style="list-style-type: none"> <li>- reach disadvantaged groups</li> <li>- Community groups have established relations with disadvantaged groups providing trust and local knowledge</li> <li>- Partners can provide tailored support and reduce barriers and produces better outcomes.</li> </ul> Inclusive employment opens doors, and collaboration ensures those doors actually reach the people who need them most. Working with Jobcentre Plus and community organisations turns good intentions into real, sustainable employment opportunities.	Julia Owen-Senior Economic Development Officer	6/30/2026	Green	Currently working with Partners at the Jobs & Skills Hub <ul style="list-style-type: none"> <li>- DWP (Job Centre Plus)</li> <li>- Surrey Care Trust (Stanwell)</li> <li>- Surrey Choices</li> <li>- Heathrow Employment academy</li> <li>- Brooklands College</li> <li>- Surrey County Council</li> </ul>	N/A	Partnerships and collaboration governance
Regular Evaluation	Theme 3 - Effective Partnership Arrangements Implement KPIs for partnership effectiveness and economic impact.	Regular evaluation instills effective partnership arrangements and by implementing and monitoring KPIs (Key Performance Indicators) turns collaboration into measurable, accountable results. <ul style="list-style-type: none"> <li>- Makes partnership performance measurable</li> <li>- Demonstrates economic impact</li> <li>- Improves decision-making&amp; performance and outcomes</li> <li>- Strengthens accountability and governance</li> <li>- Identifies under-performance early</li> <li>- Enhances transparency and trust</li> <li>- Supports continuous improvement and long-term sustainability</li> </ul> Regular evaluation through well-designed KPIs ensures	Chris Norrington-Economic Development Manager	6/30/2026	Red	Update: Metrics and updates requested from Partners. KPIs are recorded monthly  Not started	Once the Board is formed, KPIs can be recommended. Aiming for June but reliant on partners contributions as Board members.	Performance management and data quality

		partnership arrangements remain effective, deliver measurable economic impact, and provide a strong basis for accountability, improvement, and long-term success.						
Shared Data & Intelligence	Develop an economic dashboard to monitor local economy performance and inform decisions.	Shared data and intelligence play a vital role in supporting a local economy by enabling more informed, coordinated, and timely decision-making. When councils, partners, and support organisations share insights, they gain a more accurate understanding of local business needs, economic trends, and emerging risks or opportunities. Shared data and intelligence creates a stronger evidence base, allowing local authorities and partners to respond proactively and strategically to support business growth, resilience, and long-term economic prosperity.	Chris Norrington-Economic Development Manager	6/30/2026	<b>Amber</b>	Metrics currently being compiled - June 2026.	N/A	Performance management and data quality



**Assurance Area** Ensuring we address affordable housing supply and demand to meet local need

**Assurance Description** Ensuring we secure more affordable homes to meet need.  
Ensuring we reduce the number of households in emergency and temporary accommodation.

**Assurance Assessment** Cost of nightly-paid emergency accommodation is very expensive. Last year, we spent £2.3 million on temporary accommodation, with £1.2 million of that figure a direct cost to the Council (as we only re-charged for £1.1 million). As well as the financial cost, the human cost of families remaining in temporary accommodation for a long time is a concern.

**Assurance Committee** Community Wellbeing and Housing Committee

**Assurance Owner** Karen Sinclair

**Focus/Issue/Concern** Focus

**High/Medium/Low**

**Assurance Actions**

Title	Description	Purpose/Outcome	Action Owner/Job Title	Comp/ Review Date	R/A/G/B	Status	Corrective Action	Governance Theme
Housing, Homelessness and Rough Sleeping Strategy	Ensuring the Council has and maintains an effective Housing, Homelessness and Rough Sleeping Strategy.	It is a statutory requirement to have a strategy. Significant work was put into the strategy, so effective monitoring will ensure actions are being progressed. The impact will be stronger partnerships, more affordable homes and an effective homelessness prevention service.	Emily Corfield-Strategic Housing Lead	4/1/2026	Green	We are making good progress on the strategy's action plan. Some actions are no longer relevant given LGR. We will aim to publish an update in the Autumn which aligns to the Local Outcomes Framework.	None	Decision making

<p>Understanding housing demand</p>	<p>Having arrangements in place that ensure the Council understands housing demand and can therefore respond with the necessary actions.</p>	<p>Understanding true housing need will help us make effective decisions on property acquisition and management.</p>	<p>Emily Corfield-Strategic Housing Lead</p>	<p>5/31/2026</p>	<p><b>Amber</b></p>	<p>We have the housing register, but would benefit from deeper analysis of what the data could tell us.</p>	<p>Seeking additional resource to create a data dashboard to improve visibility of data.</p>	<p>Performance management and data quality</p>
<p>Engagement with Registered Providers (RPs)</p>	<p>Ensuring the Council has effective arrangements in place to engage with Registered Providers.</p>	<p>Improved relationships with RPs may facilitate more affordable homes being built in Spelthorne. We are hosting an RP forum in March with planning colleagues to share info about the local plan and hear from RPs about what they need from the Council.</p>	<p>Emily Corfield-Strategic Housing Lead</p>	<p>7/31/2026</p>	<p><b>Amber</b></p>	<p>First Affordable Housing Providers forum held in March. Second scheduled for October 2026.</p>	<p>Next RP forum in the Autumn - will be joint with other West Surrey Councils.</p>	<p>Partnerships and collaboration governance</p>
<p>Ensuring professional and timely advice</p>	<p>Ensuring professional and timely advice to people who are at risk of becoming homeless or who are already homeless.</p>	<p>To prevent as many residents as possible from becoming homeless. To support people/families once they are already homeless. Eg. By accessing private rented accommodation.</p>	<p>Ken Emerson-Housing Options Manager</p>	<p>7/31/2026</p>	<p><b>Green</b></p>	<p>We currently have 439 open homelessness cases which are being managed effectively.</p>	<p>Continue effective working. Campbell Tickell reviewing the private rented sector access scheme and homelessness casework.</p>	<p>Partnerships and collaboration governance</p>

<p>Ensuring guiding policies and procedures remain effective</p>	<p>Ensuring our guiding policies and procedures are in place, reviewed regularly and therefore remain effective.</p>	<p>Ensuring our allocations policy is fair and that housing officers are consistent in their approach. Clarity and transparency will help residents and officers make effective decisions.</p>	<p>Emily Corfield-Strategic Housing Lead</p>	<p>11/5/2026</p>	<p><b>Amber</b></p>	<p>Under LGR regs it has been agreed that although divergence of policies is preferable for April 2027. Allocations policies can be updated to reflect a West Surrey approach from April 2029.</p>	<p>Strategic Housing Lead to consider concerns about housing allocations policy.</p>	<p>Decision making</p>
<p>Reducing temporary accommodation costs</p>	<p>Ensuring we consider all options for reducing the total spend on emergency and temporary accommodation.</p>	<p>To save the Council money. To support vulnerable people and families with more suitable accommodation.</p>	<p>Emily Corfield-Strategic Housing Lead</p>	<p>6/30/2026</p>	<p><b>Amber</b></p>	<p>Action plan is now in place and already showing benefits. Next steps are to agree targets and model potential savings.</p>	<p>Ensure continuous management of the action plan. Financial savings have been modelled against targets.</p>	<p>Financial management</p>
<p>Identify opportunities to increase affordable housing supply</p>	<p>Consider funding opportunities and the acquisition of homes, e.g. through commuted sums or Section 106 agreements.</p>	<p>Increase the number of affordable homes available for residents.</p>	<p>Emily Corfield-Strategic Housing Lead</p>	<p>11/5/2026</p>	<p><b>Amber</b></p>	<p>We are currently purchasing street properties for use as affordable housing. Also acquiring 2 more properties with LAHF funding. MHCLG-funded support secured.</p>	<p>Work with Local Partnerships to a) map existing stock, b) purchase additional properties and c) work with West Surrey Councils to understand more about HRAs.</p>	<p>Financial management</p>



**Assurance Area**

Ensuring the Council has robust mechanisms in place to prepare for, respond to and recover from civil emergencies and business interruptions

**Assurance Description**

This is critical to comply with our statutory duties as a Category One responder under the Civil Contingencies Act 2004. Having the necessary arrangements in place is also essential to ensure the Council can minimise any interruptions to the delivery of its services. There are clearly links to other key areas of assurance like our environmental responsibilities, our wider organisational resilience and dealing with a cyber-attack or general IT outage.

**Assurance Assessment**

Due to working closely with our contractor Applied Resilience and through the SLRF and a planned approach to ensuring plans and training up to date this area is well covered. There is a risk that due to staff resourcing if there is a major incident such as flooding would be an issue especially in a prolonged event.

**Assurance Committee**

Corporate Policy and Resources Committee

**Assurance Owner**

Terry Collier

**Focus/Issue/Concern**

Focus

**High/Medium/Low**



**Assurance Actions**

Title	Description	Purpose/Outcome	Action Owner/Job Title	Comp/ Review Date	R/A/G/B	Status	Corrective Action	Governance Theme
Corporate resilience plan in place	Ensure that the Council has a corporate resilience plan in place.	Review the Corporate Resilience Plan at least annually and specifically if there are changes in key staff, to ensure it remains appropriate.	Sandy Muirhead-Group Head Commissioning and Transformation	5/11/2026	Green	The plan is scheduled for checking and revision on an annual basis in conjunction with Applied Resilience our emergency planning and business continuity.	N/A	Business continuity and emergency resilience

<p>Service business continuity plans</p>	<p>Ensure that Service business continuity plans are up to date and maintained.</p>	<p>Ensure all Services have their own BC plans and that they are up to date and conform with corporate guidance. Applied Resilience have assured that most plans are up to date and final ones are nearly complete</p>	<p>Sandy Muirhead-Group Head Commissioning and Transformation</p>	<p>5/11/2026</p>	<p><b>Green</b></p>	<p>All plans undergo a cycle of updating usually on an annual basis depending on the plan and updating by the Surrey Local Resilience Forum on multi agency plans.</p>	<p>N/A</p>	<p>Business continuity and emergency resilience</p>
<p>Specific ER / BC plans in place</p>	<p>Ensure that specific ER / BC plans are in place and maintained for matters such as flooding, large scale evacuations, national events.</p>	<p>Review specific ER / BC Plans at least annually and specifically following an emergency event to ensure they are appropriate.</p>	<p>Sandy Muirhead-Group Head Commissioning and Transformation</p>	<p>4/1/2026</p>	<p><b>Green</b></p>			<p>Business continuity and emergency resilience</p>
<p>Gold, Silver and Bronze command response arrangements</p>	<p>Review Gold / Silver / Bronze response arrangements to ensure they reflect the appropriate staff, logistics and communication arrangements necessary.</p>	<p>Having effective Gold / Silver / Bronze response arrangements in place that reflect the appropriate staff, logistics and communication arrangements is critical to ensure an effective response to an emergency.</p>	<p>Lee O'Neil-Deputy Chief Executive</p>	<p>6/1/2026</p>	<p><b>Green</b></p>	<p>Overarching approach to emergency response arrangements comes under the remit of management team but the emergency response and business continuity plans layout what needs to be done in key areas and relevant staff are expected to address them.</p>	<p>N/A</p>	<p>Business continuity and emergency resilience</p>

<p>Periodic testing of ER / BC plans undertaken</p>	<p>Ensure all ER / BC plans are periodically tested / independently reviewed, particularly following an incident and/or changes in key staff.</p>	<p>It is essential that the Council has confidence in its ER and BC arrangements and therefore the plans are periodically tested, independently reviewed, particularly following an incident and/or changes in key staff.</p>	<p>Sandy Muirhead-Group Head Commissioning and Transformation</p>	<p>5/1/2026</p>	<p><b>Green</b></p>	<p>Overarching responsibility is with management team but organisational arrangements and testing are supported fully by our emergency planning team at Applied Resilience</p>	<p>N/A</p>	<p>Business continuity and emergency resilience</p>
<p>Lesson learned log in place and updated</p>	<p>Undertake a review following an incident, near miss or test to ensure any improvements are identified and the necessary plans and guidance are updated.</p>	<p>It is important to reflect and learn from any actual incident, near-miss or test to ensure any improvements are identified and the necessary plans and guidance are updated.</p>	<p>Sandy Muirhead-Group Head Commissioning and Transformation</p>	<p>5/1/2026</p>	<p><b>Green</b></p>		<p>N/A</p>	<p>Business continuity and emergency resilience</p>
<p>Training and awareness (general and role specific) and communication.</p>	<p>Ensure there is a programme of training and awareness in place for all staff (and members) and is complied with. Also ensuring effective communication arrangements are in place.</p>	<p>A key element of ER / BC plans is that there is a programme of training and awareness in place for all staff and members which is complied with. Also ensuring effective communication arrangements are in place.</p>	<p>Sandy Muirhead-Group Head Commissioning and Transformation</p>	<p>4/1/2026</p>	<p><b>Green</b></p>	<p>Members are given an introduction to emergency planning after they are elected and then on occasion when relevant updates are given via taking plans to the Committee for information. Staff are provided with updates and training where relevant in specialist areas e.g incident liaison officer training or rest centre training.</p>	<p>N/A</p>	<p>Workforce management / HR</p>

Surrey Local Resilience Forum arrangements	Ensure the Council is an active member of the Surrey Local Resilience Forum and reflects any good practice in ER / BC plans, guidance and training.	The Council is an active member of the Surrey Local Resilience Forum, and it is important therefore that our ER / BC plans reflect any good practice, guidance and training.	Sandy Muirhead-Group Head Commissioning and Transformation	4/1/2026	<b>Green</b>	Spelthorne has always actively participated in the Surrey Local Resilience Forum through a presence at the Executive meetings and via delivery groups gaining knowledge of best practice in both emergency planning and business continuity.	N/A	Partnerships and collaboration governance
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**Assurance Area** Ensuring we meet our EDI duties and responsibilities

**Assurance Description** We have a duty to adhere to the Equality Act (2010). It is a priority for the Council to ensure we have workplace practices and deliver services that meet the required and expected standards to promote equal opportunities, diversity and inclusivity. We will seek to ensure we uphold and demonstrate our commitment to equality, diversity and inclusivity. We therefore need to ensure we allocate the necessary resources and harness the required skills and expertise to develop, promote and support implementation of our Equality and Diversity Policy.

**Assurance Assessment** Although the Council meets necessary tasks on EDI due to resourcing issues it has lagged in being developed and taken forward proactively. An Inclusivity Group operate on an informal basis but we are now focusing on ensuring a strategy is in place and objectives of that strategy will be met.

**Assurance Committee** Corporate Policy and Resources Committee

**Assurance Owner** Sandy Muirhead

**Focus/Issue/Concern** Focus

**High/Medium/Low**

**Assurance Actions**

Title	Description	Purpose/Outcome	Action Owner/Job Title	Comp/ Review Date	R/A/G/B	Status	Corrective Action	Governance Theme
Training and awareness	Ensure the Council develops and provides appropriate training and awareness for both officers and members.	A programme of training and awareness is in place, reviewed regularly and undertaken by officers and members.	Emily Clayton- HR Business Partner	6/30/2026	Amber	Mandatory Training is undertaken via our Workrite system by staff on an annual basis and to date 91% of staff have completed the training. For spring we are looking at the feasibility of more detailed training for key members of staff. Elected members receive some training on being elected but consideration is being to further member training.	To seek further training for key staff	Workforce management / HR
EDI impact assessments	Ensure the Council has an appropriate process in place to undertake timely EDI impact assessments.	A process and guidance for undertaking EDI assessments is in place and complied with. The results of the assessments are reviewed and any guidance or procedures amended as required.	Leigh Street- Project Officer	5/11/2026	Green	EDI impact assessments (template available) are undertaken on relevant projects and strategies. A system is being set up via the Project Dashboard for there to	Development of central log completed	Equalities and inclusion

						be a central log of assessments which can be reviewed regularly.		
EDI champions / EDI network	Ensure the Council has effective arrangements in place to identify and support EDI champions / EDI network.	EDI champions are in place across the Council, have undergone appropriate training and are integrated in service planning and delivery. Also, arrangements are in place for EDI champions to exchange issues and good practice.	Debbie O'Sullivan- Human Resources Manager	6/30/2026	<b>Amber</b>	Currently we have an Inclusivity working group which is an informal group of staff from a range of services to look at greater integration and implementation of EDI but once the a strategy is in place the Council will look to strengthen this grouping in line with West Surrey requirements. The group do exchange ideas and discuss in detail aspects of EDI plus also ensure along with the Comms team key EDI topics are marked and celebrated as appropriate. Given current LGR and IRP workloads likely to be difficult to resource this group more effectively given staffing constraints	Updated	Equalities and inclusion
Oversight of the E&D Policy / ED&I Strategy	Ensuring the arrangements for the oversight of the E&D Policy / ED&I Strategy are in place and effective.	Oversight arrangements are in place to ensure there is assurance regarding the effectiveness of the E&D Policy / ED&I Strategy through Corporate Policy & Resources Committee and the Audit Committee.	Sandy Muirhead- Group Head Commissioning and Transformation	5/11/2026	<b>Green</b>	An EDI strategy has been written and agreed by CPRC in April 2026	Strategy in Committee process to go to April CPRC and agreed at that meeting	Equalities and inclusion

<p>Procurement strategy / standard contract terms</p>	<p>Ensure the Council has the appropriate arrangements in place in the Procurement strategy and standard contract terms to ensure contractors understand and comply with the Council EDI responsibilities.</p>	<p>Ensure that EDI expectations and requirements are reflected in the Council's procurement strategy and standard contract terms and that suppliers are held accountable for upholding appropriate EDI responsibilities.</p>	<p>Linda Heron- Legal Services Manager</p>	<p>5/29/2026</p>	<p><b>Amber</b></p>	<p>Working with Runnymede who have embedded sustainability within their procurement routes will ensure such EDI is addressed within Spelthorne's procurement's.</p>	<p>To ensure the new procurement training from Runnymede includes consideration of EDI</p>	<p>Procurement and contract management</p>
<p>Equal pay / gender pay gap statistics and performance</p>	<p>Ensure the Council has and uses statistics and performance data to understand any equal pay / gender pay gap issues.</p>	<p>Ensure that equal pay / gender pay gap statistics are maintained, accurate and reported with any actions necessary identified and monitored.</p>	<p>Debbie O'Sullivan- Human Resources Manager</p>	<p>5/31/2026</p>	<p><b>Green</b></p>	<p>These statistics are collected annually and included in workforce data.</p>	<p>N/A</p>	<p>Performance management and data quality</p>
<p>KPIs in place and used and reported</p>	<p>Ensure the Council has identified appropriate KPIs for assessing the EDI compliance and performance and that there are effective mechanisms for reporting.</p>	<p>Ensure there is a suite of KPIs in place to monitor and manage compliance with the E&amp;D Policy / ED&amp;I Strategy and that data is collected accurately, in a timely manner and reported.</p>	<p>Sandy Muirhead- Group Head Commissioning and Transformation</p>	<p>5/30/2026</p>	<p><b>Green</b></p>	<p>An EDI strategy has been developed and agreed by Committee. Targeted KPIs will be put in place including gender workplace reporting, % completion of EDI mandatory training each year.</p>	<p>N/A</p>	<p>Performance management and data quality</p>



**Assurance Area**

Ensuring the Council’s financial management and long-term planning arrangements are effective to secure financial sustainability

**Assurance Description**

Maintaining control and accountability of the Council’s finances is one of our fundamental responsibilities, As such we need to have in place an effective and efficient financial management framework that enables us to manage our financial resources to meet our corporate objectives. The Council is under extreme pressure to demonstrate how it can manage its budget and ensure financial sustainability moving forward. It faces a particularly significant financial risk with respect to the need to realise significant capital receipts in 2026/27 in order to reduce the Minimum Revenue Provision charge to Revenue in 2027/28.

**Assurance Assessment**

Maintaining control and accountability of the Council’s finances is one of our fundamental responsibilities, As such we need to have in place an effective and efficient financial management framework that enables us to manage our financial resources to meet our corporate objectives. The Council is under extreme pressure to demonstrate how it can manage its budget and ensure financial sustainability moving forward. Irrespective of the actual financial resources the Council has, we need to have a sound financial management framework in place. We also have a responsibility to demonstrate to incoming West Surrey that we are passing on a sustainable financial position. Council set a balanced Budget for 2026-27 and a Capital Programme for 2026-27 without need for any additional Borrowing. Updated Medium-Term Financial Strategy (MTFS) and Reserves Strategy indicates will still be reserves balances at end of 2028-29. However, this is dependent on the Council achieving investment asset sales in 2026/27 in line with the levels assumed in the MTFS

**Assurance Committee**

Corporate Policy and Resources Committee

**Assurance Owner**

Altin Bozhani

**Focus/Issue/Concern** Focus

**High/Medium/Low**

**Assurance Actions**

Title	Description	Purpose/Outcome	Action Owner/Job Title	Comp/ Review Date	R/A/G/B	Status	Corrective Action	Governance Theme
Financial procedures and policies are in place	Ensure that the Council has appropriate financial procedures and policies in place by reviewing them annually to ensure they remain appropriate and reflect the changing context and challenges of the Council. The Council updates the financial procedures, including the Financial Regulations in response to feedback and recommendations from internal and external auditors. In April 2026 Council approved amendments to the Financial Regulations with respect to sales ledger debt management controls.	It is essential that the Council has a suite of financial procedures that are appropriate, kept up to date and reflect the changing context and challenges of the Council. Procedures will be reviewed and fed into the Surrey LGR process. The sales ledger amendments to the Financial Regulations will tighten controls and ensure fully effective separation of duties.	Altin Bozhani - Interim Deputy Chief Finance Officer	6/30/2026	<b>Amber</b>	The review and required amendments will be completed as part of 2025-26 year processes.	Surrey LGR process	Financial management
Financial Regulations	Review the Council's Financial Regulations (FRs) to ensure they are fit for purpose, reflect good practice	Review the Council’s FRs to ensure they are up to date and reflect and structural, system or key personnel changes and communicate any changes. Constitution and Financial	Altin Bozhani - Interim	6/30/2026	<b>Amber</b>	Will be reviewed and fed into Surrey LGR process.	To be fed into LGR process for new draft	Financial management

	and are complied with.	Regulations will be updated and superseded by the new arrangements for West Surrey. Aspects of the Financial Regulations relating to sundry debtor controls have been updated in April 2026 following an internal audit report.	Deputy Chief Finance Officer					
A robust and updated MTFS	Ensure that the Council prepares and maintains a robust MTFS, and protects the medium term financial sustainability of both itself and that of West Surrey Council.	Having a robust and regularly reviewed MTFS is an essential part effective financial management and understanding future financial pressures. An effective MTFS underpins the ongoing capacity to deliver services for residents.	Altin Bozhani-Interim Deputy Chief Finance Officer	6/30/2026	<b>Amber</b>	<p>November 2025 CP&amp;RC and December 2025 Council approved an updated MTFS for 2026-27. This is in accordance with the IRP workstream. Significant work was undertaken. On 26th February Council is due to approve a balanced budget without the need for exceptional financial support. Reserve projections indicate that reserves will not be exhausted by 31/3/28. Outturn report for 2026/27 identifies that £5m less reserves were required to balance 2025/26 outturn than was projected when the Medium Term Financial Strategy was updated. However, £5m more reserves will be required to be used in 26/27 to offset the impact of higher Minimum Revenue Provision as a result of the slippage of sale of an investment site in Sunbury.</p> <p>Key reason MTFS is amber is the dependency on achieving £170m (£15m slippage from 2025/26 plus £155m 2026/27 target) capital receipts in 2026/27 in order to bring Capital Financing Requirement and MRP down in line with projections for 2027/18 for West Surrey. We also need to assess implications and options for West Surrey with respect to BP site.</p>	N/A. The Improvement and Recovery Commercial theme is overseeing the asset rationalisation programme. First phase commencing in May 2026.	Financial management

Budget setting guidance	Review the Council's budget setting guidance and process to ensure it is effective.	Having budget setting guidance that is comprehensive, up to date and communicated to budget holders is an important element of good financial management. It is also important to review that guidance after each budget is set.	Altin Bozhani - Interim Deputy Chief Finance Officer	6/30/2026	<b>Amber</b>	Budget setting guidance issued for 2026-27. Budget for 2026-27.	N/A	Financial management
Budget monitoring guidance	Ensure that the Council has appropriate budget monitoring guidance in place.	Having budget monitoring guidance that is comprehensive, up to date and followed by budget holders is an essential element of good financial management.	Altin Bozhani - Interim Deputy Chief Finance Officer	6/30/2026	<b>Amber</b>	More work to be done to improve the monitoring cycle, clarity of reports. To work with members of Financial Reporting Group.	More work needs to be done to improve the monitoring cycle, clarity of reports. To work with members of Financial Reporting Group	Financial management
Capital strategy and programme	Review the Council's capital strategy and programme to ensure it is fit for purpose and affordable.	To ensure the capital strategy is reviewed regularly and reflected in the detailed capital programme with any amendments reflected and reported accordingly.	Peter Worth- Interim part time Treasury Management Accountant	6/30/2026	<b>Green</b>	Capital Programme and Strategy approved by Council 26/2/26 for 2026-27. Approved without the need for any additional borrowing.	N/A	Financial management

Financial reporting – Member scrutiny	Ensure that arrangements are in place to secure effective Member scrutiny of the Council's financial policies and procedures.	Ensure that there is the appropriate and timely member oversight of financial management and reporting, through CP&R and the Audit Committee.	Altin Bozhani-Interim Deputy Chief Finance Officer	6/30/2026	<b>Amber</b>	Progress has been made. The improvements are being embedded and will become BAU.	Monitoring timetable is being agreed. New process encapsulates online monitoring. Reports streamlined.	Financial management
Budget holder training / financial competency framework	Ensure there is comprehensive training provided and undertaken by all budget holders and that they meet the requirements of the financial competency framework.	Having budget holders that receive comprehensive training and meet the requirements of the financial competency framework is an essential element of good financial management.	Altin Bozhani-Interim Deputy Chief Finance Officer	6/30/2026	<b>Amber</b>	It requires process, system, culture change and training for finance and budget holder side. Training programme for both officers and Councillors to be identified and rolled out.	Additional training to be provided	Workforce management / HR
Capacity and expertise of the Finance Team	Ensure that the Finance Team has sufficient capacity and expertise to support effective financial management.	Having a Finance Team with the necessary capacity and capability is essential to support effective financial management. Such capacity and expertise should be reviewed regularly and improvements / changes made in a timely manner.	Terry Collier-Interim Chief Executive	6/30/2026	<b>Amber</b>	Significant work undertaken. Additional team members with significant experience and skills recruited included part time collection fund accountancy consultant, TM accountant, closing accountants, new DCFO. Finance team structure reviewed and restructured in November 2025. One member of staff has given their notice, so there is a need to address an additional vacancy in the team.	Additional training to be provided to team.  Undertake recruitment to fill the vacancy.	Workforce management / HR

Financial management arrangements align with CIPFA's Financial Management Code	Undertake regular reviews of the Council's financial management arrangements to ensure they align with CIPFA's FM Code.	It is important to be able to demonstrate compliance / conformance with best practice guidance to provide assurance regarding the appropriateness and effectiveness of the Council's financial management arrangements.	Altin Bozhani-Interim Deputy Chief Finance Officer	6/30/2026	<b>Amber</b>	It will be assessed during the accounts closing process.	Undertake a refresh of the self-assessment against the FM Code in Summer/autumn 2026	Financial management
Improving the robustness of the statement of accounts	Progress improving the robustness of the statement of accounts and move to position where external audit are able to issue a positive (non-disclaimer opinion).	Address prior year auditor recommendations and ensure minimal audit findings for 2025-26.	Altin Bozhani-Interim Deputy Chief Finance Officer	6/30/2026	<b>Amber</b>	It will be assessed during the 2025-26 accounts closing process.  Draft Outturn report produced for CPRC May 26th.	Being managed through close of accounts plan.	Financial management



**Assurance Area**

Ensuring there are effective governance arrangements in place to deliver the IRP

**Assurance Description**

The appointment of Commissioners by MHCLG has required the Council to develop an Improvement and Recovery Plan (IRP). This is a significant programme of reviews and improvements to create stability in key operational areas and address underlying financial sustainability issues. The IRP has its own governance framework and is overseen by the CP&R Cttee. It is however a major challenge for the Council and one that requires effective governance to deliver.

**Assurance Assessment**

The Council's ability to deliver effective and sustainable improvement and recovery is directly linked to robust performance monitoring, evidence-based decision making and active risks management.

**Assurance Committee**

Corporate Policy and Resources Committee

**Assurance Owner**

Linda Heron

**Focus/Issue/Concern**

Focus

**High/Medium/Low**

**Assurance Actions**

Title	Description	Purpose/Outcome	Action Owner/Job Title	Comp/Review Date	R/A/G/B	Status	Corrective Action	Governance Theme
Tracking actions and milestones	Maintain a tracker of actions and milestones to ensure the delivery of the IRP.	To deliver a major project like the IRP is a significant challenge and it is therefore essential that there are arrangements in place for timely and accurate performance monitoring.	Divya Susmitha-Project Officer	6/30/2026	<b>Amber</b>	Although weekly tracker reviews ensure accurate performance monitoring, due to the nature and the number of actions there is a risk that not all the actions will be completed and that the full expected outcomes of the Improvement and Recovery Plan will not be delivered.	Keep under review the number of and the narrative for the actions in the IRP.	Project and programme management

Change request management	Ensure robust arrangements are in place to manage change requests.	Many programmes and projects require changes as they progress. It is critical that any changes proposed are agreed and implemented effectively. This requires appropriate performance monitoring, transparency and risk management.	Daniel Dredge-Programme Manager	6/30/2026	<b>Amber</b>	Relatively recently created process, limited time to test and embed	Keep under review and adjust as necessary.	Project and programme management
Reporting arrangement to the Improvement and Recovery Board	Ensure that the arrangement to provide monthly reports to Improvement and Recovery Board are in place and effective.	Having robust governance in place for a major programme as the IRP is essential. The Improvement and Recovery Board rely on timely and accurate performance monitoring, transparency and risk management.	Daniel Dredge-Programme Manager	6/30/2026	<b>Green</b>	Monthly reports are being produced to and presented at Improvement and Recovery Board.	N/A	Performance management and data quality
Reporting to Audit Committee, CP&RC and Council	Ensure there are appropriate and timely reports to the Audit Committee, CP&R Committee and full Council to enable them to discharge their specific responsibilities.	Ensure that the arrangements to support the roles of the Audit Committee, CP&R Committee and full Council are in place and effective to ensure appropriate oversight and assurance.	Programme Director-	6/30/2026	<b>Green</b>	24/02 - To date only report to Audit Committee has been submitted; 25/03 - update report due to be presented to CPRC on 20 April and Council on 30 April; 11/05 - update reports presented at CPRC and Council on 20 and 30 April respectively	N/A	Decision making

<p>Reflect actions in Annual Governance Statement</p>	<p>Ensure that the governance arrangements relating to the delivery of the IRP are considered and reflected in the Council's Annual Governance Statement.</p>	<p>The IRP is a significant programme and relies on effective governance. In light of this it is appropriate that the effectiveness of those governance arrangements are included in the Council's Annual Governance Statement.</p>	<p>Linda Heron/Terry Collier- Group Head Corporate Governance/Deputy Chief Executive (s.151)</p>	<p>6/30/2026</p>	<p><b>Amber</b></p>	<p>11/05 - input from a wide range of stakeholders has been included in the working draft AGS which is due to be discussed at Audit Committee on 19 May</p>	<p>Capture feedback from Audit Committee and other stakeholders</p>	<p>Legislative compliance</p>
<p>Maintain decisions log</p>	<p>Ensure that the decisions needed to ensure the effective delivery of the IRP are recorded in a decisions log.</p>	<p>The successful delivery of the IRP will involve many specific decisions and to ensure transparency, accountability and evidence-based decision making it is essential that these are captured in a decisions log.</p>	<p>Daniel Dredge- Programme Manager</p>	<p>6/30/2026</p>	<p><b>Amber</b></p>	<p>25/03 - None recorded to date but action log is reviewed in monthly Board meetings; 11/05 - action log is reviewed in monthly Board meetings</p>	<p>Keep under review.</p>	<p>Decision making</p>
<p>Programme risks and issues are reported to the Improvement and Recovery Board</p>	<p>Ensure that programme risks and issues are identified, managed and reported to the Improvement and Recovery Board.</p>	<p>The successful delivery of any major programme needs to have effective arrangements in place to identify and manage risks.</p>	<p>Programme Director-</p>	<p>6/30/2026</p>	<p><b>Green</b></p>	<p>24/02 - Issues and risks are reflected in the highlights reports presented at monthly Board meetings; 25/03 - form of highlights reports is under review to ensure all key information is pulled through from the action tracker to give a rounded snapshot; 11/5 - new form of highlights report in circulation and received positive feedback from the Board at meeting on 14 April</p>	<p>N/A</p>	<p>Risk management</p>

Maintain records and logs of escalation procedure instances	Ensure that there are arrangements in place to record where matters have been escalated to senior management or the IRP Board or CP&R Committee for decision.	Good programme governance includes processes and procedures to ensure any issues are escalated appropriately to enable effective action to be taken.	Daniel Dredge- Programme Manager	6/30/2026	<b>Amber</b>	25/3 - None in circulation; 11/5 - no instances of escalation to date	Keep under review	Decision making
All activities comply with the Council's Contract Standing Orders	Ensure that any matters that require procurement or contract management to deliver the IRP comply with the Council's Contract Standing Orders.	Where procurement or contract management is required to deliver the IRP it is essential that the Council's Contract Standing Orders are complied with.	Programme Director-	6/30/2026	<b>Amber</b>	25/03 - Reporting/screening mechanism is required for effective oversight; 11/05 - internal training and comms combined with the Procurement Board work assist compliance with CSOs	Keep under review	Procurement and contract management
Budget monitoring	Ensure that there are monthly budget monitoring reports provided to the Improvement and Recovery Board.	It is essential that the IRP process has oversight of any associated costs through timely and accurate budget monitoring information.	Terry Collier- Interim Chief Executive	6/30/2026	<b>Amber</b>	25/03 - None in circulation as yet; 11/5 - budget monitoring update discussed at the Board meeting on 14 April	Keep under review	Financial management



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**Governance Assurance – Scheduling for the Audit Committee and Service Committees**

**Audit Committee**

Governance Assurance Area		GH Lead	19/05/2026	23/06/2026	23/07/2026	24/09/2026	26/11/2026	28/01/2027	04/03/2027	15/04/2027	No.
1	Inclusive Economy	Dave Anderson	X				X				2
2	Housing Needs	Karen Sinclair	X			X		X			3
3	BCP/ER	Sandy Muirhead	X			X			X		3
4	Organisational Resilience	Sandy Muirhead		X		X		X			3
5	EDI	Sandy Muirhead	X			X			X		3
6	Programme and Change Management	Sandy Muirhead		X			X		X		3
7	Climate Change	Sandy Muirhead		X			X				2
8	Financial Management	Altin Bozhani	X		X			X			3
9	IRP Delivery	Linda Heron	X		X		X		X		4
10	Procurement and Contract Management	Linda Heron		X		X		X			3
11	Fraud	Linda Heron		X			X				2
12	Cyber Resilience	Sandy Muirhead		X		X		X			3
<b>No.</b>			<b>6</b>	<b>6</b>	<b>2</b>	<b>6</b>	<b>5</b>	<b>5</b>	<b>4</b>		

**Service Committees**

**CP&R**

Governance Assurance Area		GH Lead	20/04/2026	18/05/2026	06/06/2026	12/10/2026	18/01/2027	08/02/2027	19/04/2027	No.
3	BCP/ER	Sandy Muirhead			X		X			2
4	Organisational Resilience	Sandy Muirhead				X		X		2
5	EDI	Sandy Muirhead			X		X			2
6	Programme and Change Management	Sandy Muirhead				X		X		2
8	Financial Management	Altin Bozhani			X	X	X			3
9	IRP Delivery	Linda Heron			X	X		X		3
10	Procurement and Contract Management	Linda Heron				X		X		2
11	Fraud	Linda Heron					X			1
12	Cyber Resilience	Sandy Muirhead				X		X		2
<b>No.</b>					<b>4</b>	<b>6</b>	<b>4</b>	<b>5</b>		

**BIG**

Governance Assurance Area		GH Lead	25/06/2026	01/10/2026	12/11/2026	14/01/2027	11/03/2024	No.
1	Inclusive Economy	Dave Anderson	X		X		X	3
<b>No.</b>			<b>1</b>		<b>1</b>		<b>1</b>	

**Community Wellbeing and Housing**

Governance Assurance Area		GH Lead	02/06/2026	29/09/2026	17/11/2026	12/01/2027	23/03/2027	No.
2	Housing Needs	Karen Sinclair		X		X		2
<b>No.</b>				<b>1</b>		<b>1</b>		

**Environment and Sustainability**

Governance Assurance Area		GH Lead	18/06/2026	10/09/2026	19/11/2026	07/01/2027	18/03/2027	No.
7	Climate Change	Sandy Muirhead		X		X		2
<b>No.</b>				<b>1</b>		<b>1</b>		

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