

APPENDIX 1

CORPORATE RISK REGISTER

This register summarises the Council's most significant risks which align to one or more Corporate Priority. It sets out controls in place and identifies any further action needed to mitigate risks .

Actions are assigned to appropriate officers with target dates for implementation. The relevant Portfolio Holder for each risk category is also highlighted.

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

Content reviewed October 2019 by the Internal Audit Manager

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		1. Health & Safety If Health and Safety fails it could result in death or serious injury to staff /public and legal action against the Council, with associated reputational damage (CLEAN & SAFE ENVIRONMENT) Operational risk	2	4	4	Approved Health and Safety Policy. Health and Safety Plan. Health and Safety at Work Regulations. SHE (Safety Health and Environment) system with dedicated training . Health, Safety and Insurance Risk Manager. Dedicated Health and Safety Officer in Neighbourhood Services. Managers have a legal requirement to conduct regular risk assessments. Staff Induction training. Annual reminders to complete/update health and safety risk assessments (DSE, Homeworking, and Service). Annual Health and Safety checklist, activity and compliance programme for Managers. and Safety Champions and meetings. Personal Safety Training and Lone Worker protection process. IOSH training provision and Champions encouraged to attend. Dedicated training available for First Aiders, Fire Wardens and Marshals. The robustness of inspections and site monitoring is periodically discussed at the Corporate Risk Management Group.	<i>1i. There is scope to tighten up controls relating to training, procedures and the Management activity/compliance programme</i> <i>1ii. The inspection process across the authority needs to be made more robust - regular inspections/site monitoring to be carried out and consistently documented to ensure evidence is available. 1iii A project is due to be undertaken to enhance the efficiency of the SHE system (health and safety management). 1iv. The Corporate Risk Management Group will continue to provide an opportunity for Managers to raise any issues of concern regarding Health and Safety 1v. Additional corporate health and safety resources for both SBC and KGE have been approved and are being taken forward</i>	SEHM * Cllr Boughtflower	31 October 2019 *R Requires Monitoring	October 2019 - Updates outstanding. 1i. Partially Implemented & Progressing. Further documentation and development of Health and Safety Procedures is ongoing. 1ii. Partially Implemented & Progressing . The monthly Health and Safety Committee is now attended by most service areas, however, some services are regularly absent.Going forward an attendance register will be taken. Work has been undertaken to address the shortfalls in the inspection process with ongoing improvements in health and safety monitoring, however, further improvements are still required.The restructure of the parks team is nearing completion and greater control measures for supervision and inspection of this area are currently being developed. 1iii. Commenced. Changes have been made to SHE with additional measures are planned. A number of SHE user guidance notes have been written. Additional guidance notes will be developed. Systems for health and safety monitoring, along with auditing and review are to be developed and implemented. Risk Assessments are being made more readily accessible. 1iv. In Progress It is important that there is sufficient representation at the Corporate Risk Management Group across all Service areas to enable relevant concerns to be raised.
		2. Emergency Planning If there was a major Disaster in the borough, e.g. flooding, this may result in significant strain on council services (CLEAN & SAFE ENVIRONMENT) Strategic Risk	2	4	4	Performance monitoring by Commissioning and Transformation. Emergency Planning support. Corporate Emergency Plan has been Updated and a public version placed on the Council's website.. Multi- agency flood plan reviewed January 2018. Membership of Local Resilience Forum (LRF). Regular testing of Emergency Assistance Centre plan. Borough Emergency Centre (BEC) Plans and staff training in 2017 & 2019. Staff feedback considered in updates to (BEC) plan and equipment. Incident management and Multi-Agency training. Prevent Strategy training and awareness (September 2019).	NONE	CX (DM)/ GH C & T* Cllr Boughtflower	Completed/ Ongoing Monitoring	October 2019 - There are no further updates to report.
		3i. Performance Management If performance at corporate and service level is not effectively managed then the authority could fail to deliver priorities, objectives and targets. 3ii. If there is failure to align service objectives to corporate priorities and objectives this could result in services not meeting residents /stakeholder needs. (ALL PRIORITIES)	2	3	3	Corporate Planning process incorporates a vision, priorities and targets. Monitoring by Members and Management Team. Service Planning and review process. Individual Service Plans should consider the Council's Corporate Priorities and statutory/other responsibilities (this is in the guidance). Service performance monitored by Management Team. Individual performance monitored through 1 to 1's and the appraisal process. Appraisal timetable. Priority Flagship project performance is reported regularly to Management Team and Members. Corporate Annual Report is reported to Cabinet.	<i>3i. Quarterly reporting and monitoring of Service Plan implementation.</i> <i>3ii. Improved alignment between Service Plans and the Corporate Plan as well as the budgetary cycle is planned .</i> <i>3iii. A new Corporate Plan will be prepared.</i>	GH C & T * Cllr Boughtflower	i. January 2020 * R Requires Monitoring ii. January 2020 * R Requires monitoring	October 2019 - 3i & 3ii Proposals for more frequent reporting and monitoring of progress in implementing service plans for 2019/20 have been communicated to Group Heads and Managers in February 2019, as have further planned developments to the service planning process. Reporting of KPIs takes place on a quarterly basis. Service plan templates will be issued early November 2019. 3iii. In Progress - The corporate plan is currently being reviewed and developed

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		4. Project Governance If there are inadequate project management arrangements (including lack of resources and relevant expertise or skills), then outcomes are unlikely to meet community/ service needs or projects fail to be delivered on time/ to budget. If projects do not incorporate sufficient governance standards, then this could result in poor decision making and unclear justification for actions, resulting in potential challenge (ALL PRIORITIES)	2	3	3	Project governance framework/methodology. Corporate Project Register updated as necessary. Corporate Project resource is in place but ownership for ensuring that project documentation is completed, resource implications assessed and necessary control processes are applied rests with Project Managers and Sponsors. Priority Flagship project performance is reported weekly to Management Team and includes asset acquisitions and development projects. On a quarterly basis a report goes to MAT, Cabinet Briefing and Overview and Scrutiny committee outlining progress made with projects and the work of the corporate project team.	<i>4 i Management team to consider limited capacity and revenue implications prior to approving additional / new projects. (Ongoing) 4ii . Whilst the Council has a proportionate project governance framework, consistent and proportionate application of project governance arrangements are required to contribute to the likely success of projects whilst reducing potential risks of delays and overspend. Effective governance should incorporate the necessary structures and processes to support key decisions and approvals, promote the need for robust plans, monitor progress against pre-determined plans and milestones, and include regular effective reporting to Management Team and Members. 4iii. Actions from the internal audit review of Project Governance (REVISED).</i>	GH C&T * Cllr Boughtflower	January 2020 * R Requires Monitoring	October 2019 - There are no further updates to report for 4i & 4ii further to the status reported in July 2019. 4i. Ongoing. Resourcing of projects remains an ongoing challenge as officers are often balancing several work tasks. Through the root and branch review of Services, the Commissioning and Transformation team will continue to identify projects and resources required but also improve processes and systems to assist the organisation's capacity and resilience. This also links in with risk categories 8 & 9 below. (There are no further developments to report) 4ii. In Progress. (Links with point 4iii below) 4iii. In Progress. Management have considered and are addressing some of the audit recommendations raised from the internal audit review of Project Governance (links with point 4ii above). Revised documentation (streamlined) has been circulated and the Corporate Project team have encouraged consistency in approaches, with online training being developed for rollout in 2020. Oversight by the Project Steering Group and Management Team continues.
		5a. Information Governance risks relating to organisational measures. Non compliance with data protection legislation. Information could be processed inappropriately resulting in breaches of the DP legislation, Information Commissioner fines, reputational damage. and loss of public confidence. Potential to breach Freedom of Information (FOI) Act resulting in disclosure of personal data or commercial sensitive data, and ICO enforcement. (ALL PRIORITIES)	4	4	4	Mandatory data protection online training on a yearly basis. In house (more specific) training for staff continues as requested by services; supplemented by external training. Member training. Data Protection Officer (trained and experienced) provides ongoing guidance on the Data Protection Act (2018), and the Privacy and Electronic Communications Regulations. Information Governance structure agreed by MAT and made available on Spelnet; this identifies the Senior Information Risk Owner (SIRO) and lines of responsibility for Information Assets. Work plan has fed into Data protection compliance plan for services agreed by MAT+ and distributed to Group Heads and Managers to progress data protection compliance within service lines. Training of identified Information Asset Owners ongoing. An Internal Audit review of GDPR preparedness was undertaken in April 2018 and many improvement actions have been taken forward. FOI requests: FOI online training and guidelines, FOI process flowchart.	5i. Data Protection Officer to pursue plan to ensure information assets are identified and managed. 5ii. Raise awareness of Information Governance and the requirements of the DP legislation amongst staff and members. Train remaining Information Asset Owners. 5iii. Information flows to be mapped 5iv. Completion of information assets registers for all Information Assets. 5v. Group Heads to actively promote the Data protection compliance plan for services to progress compliance within service lines. This plan includes identification of information assets and data mapping (relates also to 5i & 5iii above).	GH C & T * /DPO * All Portfolio Holders	January 2020 * R Requires Monitoring	October 2019 5i. Implemented & Ongoing : Data Protection Officer has pursued plan and many information assets are now identified and associated risks identified. Data protection compliance plan for services (issued Autumn 2018) - see 5v. 5ii. Implemented & Ongoing : The level of data protection awareness in the Council continues to increase. The former temporary administrator helped move forward completion of many of the Information Asset Registers. Due to the volume of work short term resource is currently in place. A total of 78 staff members have been trained with a further 28 still to attend training delivered by the Data Protection Officer. 5iii. In Progress - Process flows are being mapped as part of the Route & Branch review being undertaken by the Projects team which will significantly assist with mapping data flow. See also response to 5v below. 5iv In Progress- Identification of information asset assets for customer Information Assets is mostly complete. 5v. Progress- Deadlines in the data protection compliance plan for services have not been achieved in many areas.
		5b Information Governance risks relating to technological measures. If security breaches occurred this may cause system failure, non compliance with various information legislation which might lead to Information Commissioner fines/enforcement and reputational damage, with loss of public confidence. (ALL PRIORITIES)	2	4	3	Data Back up and continuity arrangements managed by ICT and tested by Managers. ICT security policies and security alerts. Personal Commitment statement required from staff on appointment. ICT security group assess ongoing risks. Series of Security Awareness updates conducted in October 2017 for all staff and a representative from the Cyber Crime Unit raised specific awareness of Cyber crime in July 2018 (mandatory session). Desktop video training rolled out to all staff from June 2019. Information Governance Officer in post. Annual ICT Disaster Recovery test.	5b i. A Disaster Recovery test (ICT) is scheduled for September 2019 and any issues arising will require addressing.	GH C & T (SIRO)/DH ICT * Cllr Boughtflower	30 November 2019 * O Requires Monitoring	5b. October 2019 - In Progress. The Disaster Recovery rehearsal has been postponed to take place mid October 2019.

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		6. Cybersecurity /IT Failure to meet the minimum security requirements of the Government's Public service Network resulting in termination of connection to any other government sites/data; unavailability of ICT systems impacts service provision; unauthorised creation & amendment of records for fraudulent purposes; inadequate measures to combat cyber security attacks or respond effectively resulting in reputational damage and financial losses (ALL PRIORITIES)	2	3	3	National Cyber Security Strategy. A review group assesses compliance with security requirements - Public Service Network (PSN). Successful certification of the Public Service Network (PSN) compliance. Self-assessment for PCI (Card Industry Data Security Standard) submitted in February 2019 and are compliant. Security measures include firewalls, encryption, egress, black-listing of memory stick,CD's and DVD'S, and universal serial bus (USB) ports locked down. Dual factor authentication on all laptops. All Baseline Personnel Security Standard checks completed. Annual health check and security penetration test. Mimecast e-mail filtering software in place. Disaster Recovery plan for ICT developed alongside Applied Resilience. ICT Strategy being developed to support the core objectives of the Council. Network refresh undertaken. System Administrators are currently assigned for each key application system, with privileged access rights to undertake relevant duties - the application of compensating controls in this area is encouraged. Independent review of the ICT function/resources undertaken in 2018. Telephony review underway considering remote devices.	6i. Following the recent annual health check and ICT Security penetration test any risks highlighted are being addressed.	DHICT *Cllr Boughtflower	6i 30 September 2019 R * Requires Monitoring	6i. October 2019 - Completed/Ongoing Monitoring. All issues were addressed and a Public Service Network (PSN) certificate was received. Currently testing software to be followed by revised password policy application.
		7. Business Resilience - Continuity Planning Ineffective business continuity planning to cover loss of building, equipment, ICT or staff could lead to loss of service or disruption in a real scenario (CLEAN & SAFE ENVIRONMENT)	2	3	3	New contract in place from September 2018 for ongoing provision of Business Continuity Planning support . Performance monitoring by Commissioning and Transformation. Business Continuity (BC) Policy . Corporate Business Continuity Plan and Service Level plans with periodical review. The BC Forum oversees progress of BC planning. Business Impact Assessments . Service level business continuity plans. Emergency protocols for loss of building access/loss of power/loss of ICT are being developed. Emergency messaging system for staff. Telephony resilience. Key responders - Incident Management Team and recovery team. Security policy updated and Applied Resilience have a text messaging system which will alert staff and instruct on whether to leave or stay where they are.	7i. Management Team are keen to undertake a fire evacuation procedure combined with a scenario where re-entering the building is not possible.	GH C & T * Cllr Boughtflower	30 January 2020 R * Requires monitoring	October 2019 - There are no further status updates to report for 7i. 7i. Outstanding. Previously advised that Applied Resilience are organising an exercise for late Spring 2019. At July 2019 no further developments have been reported in this area.
		8. Workforce - Resilience If there is over reliance on individual officers then in the event of absence or departure this may cause a gap in technical/systems knowledge and expertise, with subsequent failings in delivery of functions/ services (ALL PRIORITIES)	3	3	3	Business continuity arrangements to cover loss of key staff. Critical procedures should be documented and staff appropriately trained. Any weaknesses in resilience arrangements should be highlighted in the service planning process. In some larger service areas greater resilience is being built into teams with some individuals taking on a variety of roles. (An example of this is the Project Officer/Committee Manager within the Commissioning and Transformation team)	8i. Management Team to keep resilience arrangements under review. 8ii. Root and Branch service reviews are underway giving consideration to resilience, resourcing and capacity.	GH C & T * Cllr Boughtflower	30 January 2020 R * Requires monitoring	October 2019 - There are no further status updates to report for 8i & 8ii. 8i. Ongoing Monitoring. Resilience is one of the issues being considered as part of the root and branch service reviews. 8ii. In progress - Developments on Root and Branch reviews including efficiencies identified are communicated at corporate staff meetings and via Spelnet. Root and Branch reviews form part of a large programme of work .

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		9. Workforce - Resourcing/Capacity If increased service demands coincide with a lack of staff resources/capacity to deliver then this may result in reduced morale, high staff stress levels with possible impact on staff mental and physical wellbeing, increased sickness and turnover, with subsequent failings in delivery of services. Reduced service capacity may also result in greater instances of error, loss, fraud, theft or irregularity. (ALL PRIORITIES)	2	3	3	Short term reductions in capacity are accommodated by prioritisation and reallocating work. Longer term impacts and changes to demand may be more difficult to address. Employment arrangements and staff support mechanisms. Market supplements/allowances to assist with recruitment and retention. Training and development. Performance management systems, (appraisals, one to one's). Stress audits (risk assessments) can be arranged if necessary. Human Resources reporting to MAT. Significant investment was built into the 2017-18, 2018-19 & 2019-20 budget to address resourcing for some service areas (such as HR, Legal, Independent Living, Environmental Health). Strategic Management Team have committed to supporting mental health wellbeing and training to raise awareness of mental health has been delivered for a number of Managers in June 2019. Management as the first line of defence in the overall assurance framework are responsible for maintaining key services and internal controls. Reduced resource levels in some areas are likely to impact on the ability to operate an adequate level of controls. Compensating controls are required where appropriate.	<i>9i. Management Team will need to keep resourcing levels under review, particularly the impact of new projects and any statutory obligations on service/project delivery. (Ongoing monitoring action)</i> <i>9ii See action at 8ii above relating to Root and Branch reviews.</i>	9i MAT 9ii. GH C & T *Cllr Boughtflower	30 January 2020 R * Requires monitoring	October 2019 - There are no further status updates to report for 9i & 9ii. Completed/Ongoing Monitoring. Additional staffing resource approved for some Service areas in 2019/20, such as ICT, HR, Environmental Health and Assets. K28Since March 2016 73.19 posts have been added to the Council's establishment list and so there has been increased resources, even after allowing for the transfer of the grounds maintenance operation back in-house. This has helped improve resilience and Spelthorne have been able to do so as a result of additional commercial asset income. Further growth approved and built into the 2019- 20 Budget for 9ii. In Progress - Root and branch review of services is underway and ongoing in order to identify efficiencies and capacity issues which can be resolved to improve organisational performance and resilience. Some quick wins have been achieved.
		10. Workforce - Recruitment and Retention If there are prolonged staff vacancies due to inability to recruit, then this may result in a failure in service delivery (ALL PRIORITIES)	3	4	4	Market supplements awarded to certain roles when recruiting. Annual Salary review of recruitment and retention allowances. review/enhancements in some services. Posts advertised with Surrey Jobs as well as a wider network of job sites. Specialist websites are also used to advertise posts where necessary. Annual report summarising staff recruitment and turnover. National apprenticeship scheme. Levy to be focussed on upskilling internal employees as well as some recruitment of new apprenticeships. Local arrangements in place for deciding pay awards and moved to local terms and conditions of employment. Initial discussions are underway in terms of the pay settlement for 2020-21. Briefing note reported to the March 2019 Audit Committee setting out the effectiveness of recruitment and retention measures.	<i>10i. Any future review of the recruitment and retention strategy should consider the feasibility of a staff referral scheme.</i>	GH C & T/HRM * Cllr Boughtflower	30 January 2020 R * Requires monitoring	10i. At October 2019 - Whilst the specific action at 10i is outstanding, the HR Manager has advised that Spelthorne have not experienced any recruitment challenges since March 19, when the last update to Audit Committee was provided. The addition of a market supplement for posts that have been traditionally hard to recruit has been working effectively at present and Management Team supports this. A new HR Systems Information Officer has been appointed and will look at external benchmarking.
		11a. Procurement - If governance arrangements are weak with a lack of transparency, this could result in any of the following: financial penalties for non-compliance with legislative requirements; contractual disputes and claims through poor specifications; contractors/partners failing to deliver expected outcomes; reputational damage, challenge and poor VFM. (This section links also with section 4 above - Project Management) (ALL PRIORITIES)	3	3	3	Contract Standing Orders (April 2016). Contract guidelines with compliance checklist (to be updated). Requirement for declaration of interests (Officers and Members). Corporate Procurement training provided in May 2019. E-procurement system in place and contracts sourced with this solution. Revised Procurement strategy and vision (February 2019) An initial indicative spend analysis exercise undertaken during 2019. Developing improved reporting systems. Interim Procurement Manager in post to establish revised procurement processes. Enhanced monitoring for key suppliers now added to the S&P Watch list to enable concerns to be picked up pro-actively. Procurement Projects group (PPG) . Production of a monthly PPG Report to highlight status of a range of procurements.	<i>11ai. Full compliance with the Local Government Transparency Code is required and should be confirmed once achieved. 11aii. To ensure there is an ongoing reference for officers involved in procurement activity, Procurement and Contract Management guidelines need to be updated and publicised to reflect regulatory changes of 2015. 11aiii. Implement a programme of training for contract managers where the principles of Contract Standing Orders and Contract Check list form the core element of the learning. 11aiv. Revised Procurement processes are being established . 11av. Recommendations arising from the recent Internal Audit review.</i>	HOCG *Cllr Boughtflower	30 January 2020 R * Requires monitoring	At October 2019 - no updates have been received f in this area. The Internal Audit Manager has updated this section to the best of her knowledge. 11i In Progress - Contract information (register) has been collated and is being published on the Council's website in October which meets requirements under the Transparency Code. ii. Outstanding 11iii. In Progress - Training has taken place (May 2019) attended by a number of Service representatives. The external trainer highlighted regulatory requirements (PCR 2015) for further consideration. A further session to outline local processes including Spelthorne's Contract Standing Orders seems appropriate to promote awareness and understanding of expectations. 11v. In Progress - The interim Procurement Manager is leading on implementing and promoting revised Procurement processes. Linkages between project governance and procurement continue to be integrated into processes to ensure alignment. . Head of CG will be attending Audit Committee in November 2019 to provide an update. 11vi. In Progress - Audit recommendations will be followed up in due course.

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		11b. Major Procurement - A lack of ongoing forward planning in preparation for the expiry of existing Leisure Centre arrangements in 2021 may result in delays in delivery of key project milestones and provision of leisure facilities to the community. If the project is not effectively managed, this could result in overspends, delays and significant ongoing strain on the Council's financial resources. (This section links also with section 4 above - Project Management)	3	3	3	Current Leisure centre operator contract ends 2021. An extended contract is in the process of being agreed via Legal. "Leisure Centre Needs Analysis" submitted to MAT in 2014 and updated in 2017, which endorsed the recommendation to carry out a feasibility study. A high level discussion document was presented to Cabinet in October 2016 and a project team formed. Project Sponsors and Project Managers identified. Project related documentation. Risk Register. Councillors and staff kept informed of key progress milestones, requirements and timeframes . Feasibility study completed March 2018 by specialist Advisors, design brief signed off and public consultation undertaken in summer 2018. The Leisure Centre Development Working Group (LCDWG) was formed in early summer 2018 to oversee the project, comprising the Leader (Chair), Cllr Attewell and representatives from Management Team, Comms, Leisure Services and Assets. Overview and Scrutiny progress report of January 2019	<i>11b. An assessment of possible sites for the new leisure centre has been undertaken and a preferred option will be put forward to Cabinet for consideration prior to going back out for public consultation. (REVISED)</i>	Dcex (LO) * Cllr Attewell	30 March 2020 R * Requires monitoring	11b. At October 2019 - Negotiations to extend the current operator contract are nearing completion. The process for reviewing alternative sites has been peer reviewed by an independent consultant and a preferred option for locating the new leisure centre will be put forward to Cabinet for consideration prior to going back out for public consultation.
		12. Housing External factors including national housing shortage , insufficient affordable properties, London Boroughs increased use of Spelthorne properties and welfare reforms such as Universal Credit may all impact on the effective delivery of Spelthorne's Housing Service to the community. Ongoing uncertainty over recovery of outstanding Housing Benefit debt. (HOUSING)	3	3	3	Group Heads/ MAT/Members are aware of ongoing risks in this area. Local Plan Policy currently being reviewed. Housing and Homelessness Strategies. Universal Credit rollout/migration is under consideration. Housing Benefit regulations (DWP) stipulate limitations around overpayment debt recovery. Current debt stands at approx. £3m. Discretionary housing payments Corporate Debt Group and Strategic Housing Group monitor progress. Officers and A2D continue to work with families affected by the benefit cap. Close working with private landlords. Landlord guarantee scheme. Knowle Green Estates Ltd (subsidiary) focusing on the Housing Delivery Programme to meet Housing targets - a review/audit of the governance arrangements of Knowle Green Estates is due to take place . Council was assessed by the Ministry for Housing, Communities and Local Government as being well prepared for the implementation of the 2018 Homelessness Reduction Act, which was reported to Overview and Scrutiny in January 2019.	<i>12i. Management Team to continue to monitor the ongoing pressures facing the Housing Service highlighted by Management (eg impact of SCC cuts) 12ii.As part of the 'duty to refer' requirement of the 2018 Homelessness Reduction Act statutory responsibility for making referrals into the local housing authority rests with the public body or agency. Housing are continuing to work proactively with all public bodies to promote awareness and encourage referrals into Spelthorne, ensuring pathways are clearly communicated. This will ensure that any wider risk implications in terms of homelessness levels for Spelthorne are minimised through early intervention. 12iii. Review of Housing and Homelessness strategies to include stakeholder involvement and participation.</i>	Joint Group Heads CW * Cllr Attewell	Completed/ Ongoing Monitoring	12i. Ongoing. 12ii. October 2019 - Ongoing -Monitoring continues as appropriate. 12iii. October 2019 - In Progress. Strategies are under review and consultation will be taking place for the Homelessness Strategy. These will link into the Housing Delivery Programme.
		13a. Economy/ Funding Uncertainty over economic growth and supplier failure could impact on: • Delivery of contracts and services • Business Rate income collected/retained , thereby affecting the Council's overall finances. (ECONOMIC DEVELOPMENT & FINANCIAL SUSTAINABILITY)	2	3	3	Financial Services monitor the financial media in relation to larger companies and critical commercial partners. Enhanced Monitoring arrangements implemented as key suppliers now added to the S&P Watch list . Aim to maximise Business Rate collection/minimise losses for the Council.Additional quarterly monitoring of collection and projected outturn retention implemented . Participated in the 100% retention of business rates pilot for 2018/19 and exceeded target. Additional counter fraud resource is available to identify and investigate potential tax avoidance and evasion cases, which can be translated into cashable savings for the authority. (Being pursued under Corporate Counter Fraud work - see risk category 20).	<i>13i. Impact of Business Rate arrangements on Council finances is under ongoing review.</i>	DCX (TC)/ Deputy Group Head CR * Cllr Harman	Completed/ Ongoing Monitoring	13i. Implemented and ongoing.

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		13b. Economic Development If the Economic Development Strategy fails to be implemented, this could impact on growth (ECONOMIC DEVELOPMENT)	2	3	3	Regular reporting to Members. A 5 year economic assessment & development strategy for 2017 - 2022 (previous audit recommendations were taken into account). Economic Development Strategy is reviewed periodically. Periodical review and refreshing of the strategy, enabling targets that have been achieved to be commented upon and removed; new targets that have emerged over the previous period are then included. Prioritisation of projects to benefit from the business rates retention has been completed.	<i>13bi. Economic development is a Council priority and growth will impact on business rate income - this is under ongoing review.</i> <i>13bii. Regarding governance, through the EDEG 5 areas have been identified as the most important areas of delivery within the strategy and will be reported on every 6 months to the group to strengthen performance monitoring. The refreshed strategy needs to be approved by the EDEG.</i>	EDM* Cllr Rybinski	Completed/ Ongoing Monitoring	13bi & ii. Implemented and ongoing review. At October 2019 - there are no further updates to report for this area.
		14. Safeguarding If there was failure to comply with statutory duty / adhere to Safeguarding Policy, (including failure by County to address Spelthorne referrals), this could lead to death or injury to a child or vulnerable adult, resulting in legal action and reputational damage. (CLEAN & SAFE ENVIRONMENT)	2	4	4	Council has statutory responsibility for safeguarding children and Adults. Approved and publicised Safeguarding policies and procedures. Staff and Member training and staff inductions include Safeguarding. All referrals to Surrey County Council should be reported to a nominated Spelthorne Officer. Regular liaison with Surrey County Council and the Surrey Safeguarding Children's Board (SSCB). Annual Section 11 audit (a review of training records was also undertaken in 2018). Liaison with Human Resources for training purposes and DBS checks. Online safeguarding training module and cascade training. Procedure to deal with the Multi Agency Safeguarding Hub (MASH) enquiries. Spelthorne is represented on the new Early Help Advisory Board by the Deputy Chief Executive. Internal officer group coordinates responding to safeguarding and early help issues. Monitoring of changes to the referral process.	<i>14i. Officers are currently undertaking the statutory children's Safeguarding audit which is completed annually. Any recommendations arising are to be considered.</i>	LSM* Cllr Attewell	30 January 2020 R * Requires monitoring	14. At October 2019 - no updates have been received for this area . In Progress - Results of the children's audit have been received and there are some recommendations to address. The Surrey Borough and District group have asked the children's safeguarding team to attend their meeting to discuss the audit recommendations for all the Boroughs and Districts as some themes are similar. Awaiting feedback following submission of an adult safeguarding audit .

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		15. Financial - Income Generation(Property) In light of ongoing reduction in Central Government funding, if opportunities for significant income generation and investments are missed, then this will impact on the Council's ability to close the budget gap and deliver vital services. If weak governance arrangements prevail, this may contribute to poor investment outcomes and increase exposure to financial risk including loss of anticipated rental income and poor investment returns. (FINANCIAL SUSTAINABILITY)	3	4	4	Long term strategic/financial plan. Corporate Plan / priorities reviewed. Member engagement. The Council is applying innovative ways to fund services and create new revenue streams through significant commercial asset acquisitions and investments. Since September 2016 an additional ongoing annual net income of £9.5m has been generated from commercial asset acquisitions. This enabled a balance budget to be set for 2018-19 and to make revenue contributions towards capital to put capital programme financing on a more sustainable basis. Investment Asset Strategic Parameters approved by Council in December 2017. Advice is sought from the Treasury Management advisors as appropriate. Thorough due diligence undertaken with respect to leases and acquisitions and with respect to evaluating strength of covenant of tenants- now using S&P to evaluate. A second set of advisers used to independently assess the robustness and appropriateness of modelling assumptions for acquisitions. A robust governance framework has been developed and continues to support property acquisitions and investment processes, to include 1. Asset Governance framework and action plan; 2. Property Investment Strategy; 3.DIG meet weekly to track project progress plus a Councillor led Investment and Development Committee; 4. Revised regulatory investment guidance (Feb 18) requires LA'S to develop quantitative indicators to assess a local authority's total risk exposure as a result of its investment decisions, with reporting on Prudential indicators; 5. Presentation by the Portfolio Holder for Finance and DCX (TC) to O & S on the council's approach to management of risk; 6. Robust Treasury Management Strategy; 7. Weekly update to MAT on status of Priority Flagship projects(incl. commercial asset acquisitions). Further control measures for this risk category are recorded below.	<i>15i. A robust governance framework continues to be developed to support property acquisitions and investment processes.</i>	GH R & G* Cllr Harman	15i. Completed /Ongoing Monitoring	15i. Implemented/ Ongoing . Performance is monitored regularly at Development and Investment Group (DIG) and a quarterly performance report is produced for the Investment Portfolio. DIG comprises of senior officers from across the Council and meets weekly to undertake a review of performance of acquisition, progress of developments, and evaluation of possible acquisitions. Monthly meetings of Investment and Property Committee (IPC), on which Leader and Finance Portfolio Holder sit, review and discuss performance of investments, developments and consider/ evaluate possible acquisitions and whether to put forward to Cabinet for consideration. Planned reporting of prudential indicators has taken place and went to the Development and Investment Group (DIG), with formalised reporting to take effect once the new Property Management System is operational. Council approved at its February 2019 meeting the Capital Strategy. The draft Strategy was scrutinised by Overview and Scrutiny as a draft before going to Council for approval. The first internal officer quarterly review of the Capital Strategy was undertaken at the end of June 2019, and updated to reflect the fact that a number of new development proposals are coming forward. The review scheduled for September 2019 focussed on refining performance indicators. In addition, it will set out a suite of Key Performance Indicators against which the Portfolio will be evaluated (over and above that already reflected in the quarterly performance report).
		Risk Category 15 (See above)				Further control measures relating to risk category 15 (Property Acquisitions) Monitoring arrangements relating to property development work arising from asset acquisitions - The Group Head for Regeneration and Growth prepared a briefing note for Audit Committee in November 2018 on monitoring arrangements, for example quality control measures undertaken by professionals. Due Diligence measures for tenant management - The Council has brought in additional advisers to provide a second opinion on lead advisers advice, and to produce reports on the financial robustness of tenants in potential and acquired acquisitions. The Council has subscribed to Standard &Poor's credit rating database and set up watch lists for its tenants to alert it to any deterioration in the health of its tenants. Where there is any deterioration the potential impact of this is reviewed by the internal team. Sensitivity analysis is undertaken with respect to variables such as rental growth.	<i>15ii. Robust and effective systems need to be in place to record and recover significant rental income due to SBC from it's increased property portfolio.</i> <i>15iii. Effective implementation of Property Management Software (NEW)</i> <i>15iv. Internal Audit Review undertaken of Commercial Asset Acquisitions and Investments (NEW)</i>	GH R & G* Cllr Harman	15.ii & 15iii. 30 April 2020 R * Requires monitoring 15iv. January 2020	15ii & iii. Progress underway- Work is underway to deliver a new Property Management System to effectively manage Spelthorne's property portfolio (investment, community, commercial and residential properties).The initial 'go live' implementation for the acquired software is set for end of September 2019. There is then a 6 month period for the uploading of the property, sales ledger and finance information. Within this there will be extensive testing to ensure it is robust. It is currently anticipated that the final 'go live' for billing will be April 2020 (subject to billing). The Council uses expert external advisors (where required) for its investment portfolio to manage matters such as service charges. DIG receives timely updates on rental income collected on the Council's commercial investment assets. The Deputy Chief Executive (TC) has advised of 100% of commercial assets rent due having been received within 2 weeks of quarter date for quarter 4 of 2018/19 and for quarter 1 of 2019/20.

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		16. Heathrow expansion (As set out in the Airport Expansion Consultation summer 2019) has the potential to significantly impact the borough/its residents on a wide number of fronts (e.g. increased noise, poorer air quality, 22,000 space southern parkway, roads being brought closer to properties, loss of green belt and open space, ongoing construction sites, increased traffic leading to greater congestion and pollution levels, indiscriminate parking etc.) (ALL PRIORITIES)	4	4	4	The Group Head for Regeneration and Growth is the Corporate lead for the Heathrow Expansion. The Council responded in detail to Heathrow's AEC on 13 September 2019. The Council set out its issues in a 177 page document with 76 actions for Heathrow. 16 key strategic requirements were also set out which Heathrow are expected to meet.	<i>(i) Bi-lateral meetings with Heathrow (where beneficial to do so) to ensure the requirements are met (NEW)</i> <i>(ii) To continue to work as part of Heathrow Strategic Planning Group to ensure that Spelthorne's views are represented at a wider strategic level (NEW)</i> <i>(iii) Work in preparation for the Development Consent Order (statement of common ground and areas/issues for challenge)</i>	GH R & G Cllr Boughtflower	On-going * R Requires Monitoring	This is a new risk category for inclusion on the Council's Corporate Risk Register.
		17. Political Uncertainty In light of the changing political landscape & Brexit, this represents many potential uncertainties of a recruitment, financial, regulatory and supply chain management nature arising from currency devaluation/volatility, trade, investments, relocation of Partners/Suppliers, changing access to EU funds, level of compliance with EU regulations , workers rights (EU Nationals). These could all impact on existing policies, procedures & processes. ALL PRIORITIES	3	3	3	The Group Head for Commissioning and Transformation is the Corporate lead for Brexit. Summary briefing note issued to MAT/Cabinet/Audit Committee in August 2018 on possible implications of a Brexit "no deal" on the Council .This note highlighted the potential indirect impact in terms of skills shortages with implications for increased costs and timings, particularly in the construction and social care sectors. Further briefing note presented to Audit Committee in March 2019. Brexit Continuity Planning continues to takes place.	<i>17i. MAT to regularly consider potential Brexit uncertainties for Spelthorne and have a plan in place to address.</i> <i>17ii. Group Head Transformation & Commissioning is participating in regular Countywide Brexit Continuity Planning meetings and briefing MAT, Group Heads and Members . (REVISED)</i>	GH C & T (Lead) All Portfolio Holders	31 October r 2019 R * Requires monitoring	17i. Progress underway - MAT and Group Heads are briefed regularly regarding developments. Preparing/planning as much as possible given the current uncertainty of a "no deal " scenario. 17ii. Progress underway - There is of course continued uncertainty associated with scenario planning for Brexit. The Group Head for Commissioning and Transformation considers that overall Spelthorne are aware of the risks and trying where possible to address these. A weekly report on preparedness for Brexit is issued to the Local resilience Forum which feeds through to Central Government. Also attending weekly tactical and fortnightly strategic teleconferences with the Local Resilience Forum to ensure contingencies where appropriate in place. Services are updating on any information/impacts relevant to their service via weekly reports back to the LRF and onto central Government. Services are noting potential implications including staffing, environmental health and data protection. Currently awaiting further instructions on next stages. Guidance for Councils on Brexit secondary legislation has been circulated to Group Heads and Managers.
		18. Financial (Returns) If the Council receives a poor return on long term investments and/or investments become insecure in the current climate, then this will have an adverse impact on the Council's financial position. (FINANCIAL SUSTAINABILITY)	2	3	3	Treasury Management Strategy approved annually by Members. Approved Capital Strategy (see risk category 15). Reporting of Treasury Management performance to Members. (The Council exceeded Treasury Management target income for 2018/19 and achieved average rate of interest on medium term pooled funds of 4.23%) Aim to select counter parties of the highest credit quality; credit ratings monitored closely and apply criteria recommended by Arlingclose. Council's investments managed internally in consultation with Arlingclose. The team continues to explore options for diversifying the portfolio. Roles and responsibilities assigned within Accountancy. Deputy Chief Executive and Portfolio Holder are involved in key decisions. Regular monitoring ,reporting of investment portfolio and returns achieved. CIPFA Code of Practice and Prudential Code being applied with new recommended indicators for measuring investment performance.	<i>18. The team are addressing the recommendations arising from the recent internal audit review of the Treasury Management function</i>	DCX (TC) * Cllr Harman	30 January 2020 * R Requires Monitoring	18. A review of the Accountancy structure has taken place in August 2019 to assess staff contingency arrangements/ requirements which should also assist in further enhancing the control environment. The recommendations are being implemented with all anticipated to be implemented by end of 2019. Council commissioned an options paper from Arlingclose on financing which is being considered in the context of the recent uplift by 100 basis points in Public Works Loan Board (PWLb).

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		19. Financial (Debt) If there is a failure to collect/recover income due, this will result in financial losses to the authority. Where there is poor system integrity due to increased risk of error, duplication of data, irreconcilable systems and inefficient processes, this could lead to a significant level of aged debt and financial losses. (FINANCIAL SUSTAINABILITY)	3	3	3	Corporate Debt Group monitor the more material items on the aged debt analysis and also coordinate action to tackle debt that is unlikely to be recovered, reviewing progress made by lead Officers. Monitoring developments in recovering CIL focuses on larger sums due. Some good results have been achieved in enforcing collection and monitoring CIL debts. The Chief Finance Officer reviews a monthly status report of higher value aged debts over 6 months old for reasonableness. Analysis undertaken by Customer Services to identify and address historic debts which are not cost effective to pursue or with low probability of recovery, and therefore require write off. A progress review of relevant audit recommendations is discussed at each Corporate Debt Group meeting. Recovery policies recently reviewed (Corporate Debt and HBO). Debt collection statistics produced and analysed. Budget Monitoring identifies any anticipated shortfall in income. Accountancy report to Management Team and Members on significant variances and comparisons with previous year. Housing Benefit regulations (DWP) stipulate limitations around overpayment debt recovery. Weekly payments cycle introduced for Housing Benefits to address timing differences for Bed and Breakfast debt/assist monitoring.	<i>19i. The corporate debt recovery policy is being reviewed</i> <i>19ii. In order to improve efficiency, there is scope for Customer Services to take greater control over the persual of all sundry debts at every stage. (REVISED)</i> <i>19iii. Development of systems to assist in monitoring of Bed and Breakfast debt in terms of enhancing efficiency and avoiding duplication is ongoing.</i>	DCX (TC)/CS & RM/ GH CW Cllr Harman	30 September 2019 * R Requires Monitoring	19i. Completed - The corporate debt recovery policy has been reviewed and submitted to the Corporate Debt Group, with further revisions underway, after which the final draft version will be circulated to the group by mid October. It will then go to MAT for approval. 19ii. Progress underway - This point has been reiterated in the internal audit review of sundry debtors (June 2019) with regards action beyond the stage three invoice reminder. If Customer Services are to take a greater lead role in the persual of all sundry debts including decisions where appropriate and firming up expected response timelines from Services, this needs to be reflected in the revised corporate debt policy to ensure clarity (see action 19i). It is acknowledged that Debts are being referred back to departments on a quarterly report to which they are asked to respond within 6 weeks as to how they wish to move forward with the outstanding balance and provide any debts that need to be written off. 19 (iii) In Progress - Project set up to address and move forward the operational issues but dedicated resourcing, skillset and ownership remains an issue. Internal audit review is underway and advice issued.
		20. Climate Change Environmental breakdown 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 food systems, supply chains & procurement, economic productivity and losses. If the Council is not seen to be taking action it could result in criticism/bad press/public demonstration (CLEAN AND SAFE ENVIRONMENT)	3	4	4	Consideration of Government targets for reducing carbon emissions/greenhouse gases to tackle climate change. Whilst there are no specific targets set on local councils, Officers are working in the spirit of ethical and social responsibility to address climate change concerns, reviewing the Council's carbon footprint and thereby contributing to the overall government targets. Sustainability Strategy Energy & Water Efficiency policy (2015 - 2020) Corporate Emergency Plan. Active members of Surrey Energy & Sustainability Partnership (SESP) and Association of Lead Energy Officers (ALEO). Consideration as part of project implementation as follows : New developments - minimum renewable energy requirement Fuel Poverty - through administering energy grants and promoting energy efficiency measures. Increased renewables capacity with solar PV installations on 2 Day Centres and further plans to do so on other sites. Implementing energy efficiency measures in Council owned buildings Increasing renewables capacity, including with solar PV installations (2 of the Day Centres),EV charging provision(some car parks).	<i>20i. The Sustainability Strategy and the Energy & Water Efficiency Policy are being reviewed. (NEW)</i> <i>20ii. A new Sustainability Strategy is to be developed in 2020. (NEW)</i> <i>20iii. A new Biodiversity Action Plan is being developed for 2020.(NEW)</i>	SO - MR* Cllr Barratt	31 March 2020 * R Requires Monitoring	This is a reasonably new risk category for inclusion on the Council's Corporate Risk Register. A report from the Institute for Public Policy Research (IPPR) has concluded that global greenhouse gas emissions must be reduced by 45% from 2010 levels by 2030 to avoid catastrophic warming. The Government has now committed to net zero carbon emissions by 2050 and declared a climate emergency, with many local councils following suit.
		21. Fraud, Bribery & Corruption If there is an increased risk of fraud / theft/ bribery or corruption arising from a weak control environment this will result in financial losses and reputational damage. Housing tenancy fraud reduces availability of social housing impacting on the Housing register. Business Rates Avoidance and Evasion results in loss of income. (FINANCIAL SUSTAINABILITY & HOUSING)	3	3	3	Various corporate Policies including Confidential Reporting Code (Whistle blowing), Anti-fraud, Bribery and Corruption Strategy, Proceeds of Crime and Anti-Money Laundering, Code of Conduct, Gifts and Hospitality, Financial Regulations and Contract Standing Orders. Fundamental controls to be embedded to enable prompt identification and investigation of discrepancies, errors and potential theft or fraud. (Management oversight, segregation of duties, financial reconciliation processes, authorisation limits and IT Security measures). Specialist Fraud groups with Surrey Partners enable sharing of skills, knowledge and approaches. Fraud alerts circulated. Enhanced verification checks for new housing claims. Non-benefit fraud returns are collated quarterly, focusing on housing, council tax support, and business rates (evasion and avoidance). These are reported to the Surrey Counter Fraud Board. Collaborative working with Reigate and Banstead's Counter Fraud team has continued to produce positive outcomes and impressive financial returns/payback. Wider benefits are also being realised from this counter fraud work and a further growth bid has been secured (February 2019) for these counter fraud measures to continue. Overview & Scrutiny Committee report of 2018(tax evasion/avoidance)	<i>21i. To arrange refresher Counter Fraud, anti-bribery and corruption training for all staff and Members.</i> <i>21ii. To undertake a risk assessment for money laundering to ensure compliance with regulations.</i>	21i. IAM 21ii. Head of CG Cllr Harman & Cllr Attewell	30 January 2020 * R Requires Monitoring	As at 31.3.19 the cumulative fraud return for Spelthorne (since the start of the Surrey Fraud Partnership in January 2015) equates to just under £2.5m in terms of notional savings to the public purse, with estimated cashable savings for Spelthorne of £482k. This figure incorporates positive fraud outcomes for Corporate Fraud and includes Housing, Business Rates and Council Tax. A business case has been prepared for continued collaborative working with another authority. Further counter fraud measures are being explored in partnership with the Surrey Counter Fraud Board which will provide continued benefits for all partner authorities. 21i. Progress underway. Counter Fraud, anti-bribery and corruption refresher training for staff and Members is being pursued with a view to scheduling mandatory training sessions by the end of 2019. The Internal Audit Manager gave a presentation at the corporate staff meetings of September 2019 to raise awareness of the Whistleblowing Policy, in particular promoting the correct reporting channels for raising serious concerns such as fraud, bribery, corruption amongst other categories. 21ii. At October 2019 - No further updates received.

*KEY TO RAG RATING

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		Actions Overdue & Outstanding			Partially Actioned			Completed/Ongoing Monitoring		

Note that previous RAG ratings are included to illustrate the Direction of Travel for recommended actions

***KEY TO TARGET DATES** *** N = New Action** ***R = Revised target date for assigned action** ***O = Original target date for assigned action**

***KEY TO OFFICERS**

MAT - Management Team

CX, - Chief Executive, Daniel Mouawad
Head of CG – Head of Corporate Governance, Michael Graham
DHIT - Deputy Head of ICT – Alistair Corkish
Deputy Chief Executive (Chief Finance Officer)- DCX (TC) – Terry Collier
HSIRM - Health and Safety, Insurance and Risk Manager – Stuart Mann
GH C & T - Group Head - Commissioning and Transformation, Sandy Muirhead
GH - NS - Group Head - Neighbourhood Services- Jackie Taylor
Deputy Chief Executive - DCX (LO) – Lee O’Neil
SEHM - Senior Environmental Health Manager, Tracey Wilmott-French
PS - Principal Solicitor, Victoria Statham
DGH CR - Deputy Group Head for Customer Relations, Roy Tilbury
CS & RM - Customer Services and Revenue Manager, Martyn Forward

PORTFOLIO HOLDERS - recorded under risk ownership column

GH R & G - Group Head - Regeneration and Growth, Heather Morgan
DPO - Data Protection Officer, Clare Williams
HRM – Human Resources Manager, Debbie O’Sullivan
CM- Contract Managers
JGCW – Joint Group Heads for Community Wellbeing, Deborah Ashman and Karen Sinclair
LSM - Leisure Services Manager, Lisa Stonehouse
RRO – Risk and Resilience Officer, Nick Moon
EDM – Economic Development Manager, Keith McGroary
IAM - Internal Audit Manager, Punita Talwar
SO- Sustainability Officer, Mark Rachwal