

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

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

RISK CATEGORY (RC) REFERENCE (AS IN THE CRR)	ACTIONS (SMART)	DATE ACTIONS ADDED	LEAD OFFICER DATE ACTIONS REVIEWED & WHOM BY	TIMELINE FOR DELIVERY (INCLUDES ALL REVISED TARGET DATES)	STATUS (IMPLEMENTED / IN PROGRESS OR OUTSTANDING) (REPORTED STATUS AT MARCH 2023)
1a. HOUSING – Development & Targets	1a (i). Preparation and adoption of New Local Plan to meet future need and strengthen affordable Housing Policy	March 2020	Lead - Strategic Planning Manager (Ann Biggs) <i>Action reviewed by Group Head Place, Protection and Prosperity 07.10.21, 09.02.22, 24.06.22, 27.10.22, 20.02.23</i>	(i) March 2022 (ii) Revised – June 2023	IN PROGRESS On 08 November 2022, the Environment and Sustainability Committee agreed a revised Local Development Scheme timetable and minor alterations to the Staines Development Framework. The Local Plan was submitted to the Planning Inspectorate for formal examination on 25 November 2022. An Inspector was appointed mid-Dec 22. Examination dates are awaited.

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1a. HOUSING – Development & Targets	1a (ii). Greater strategic direction for Knowle Green Estates (KGE) will support progress in delivering Council priorities, development targets and addressing housing needs (affordable and general).	October 2021	Lead - Management Team <i>Action reviewed by Chief Finance Officer, 14.10.22 & February 2023</i>	(i)March 2022 (ii)Revised – September 2022 (iii)Revised January 2023	IN PROGRESS On 28 November 2022 CPRC received KGE annual report. Extraordinary Council meeting on 02 February 2023 agreed a new strategic approach to ensure Council’s residential delivery plan remains financially sustainable on a long-term basis and in turn protects KGE’s sustainability.
1b HOUSING – Affordable	1b (i). Service Level Agreement to be put in place with registered providers to establish and take forward cases of any alleged tenancy fraud with a view to freeing up social housing.	March 2020	Lead - Housing Strategy Manager (Marta Imig) <i>Action reviewed by Housing Strategy Manager on 3.10.2021,28.1.22,28.6.22 & February 2023</i>	(i)October 2021 (ii) Revised March 2022 (iii) Revised July 2022 (iv) Revised October 2022 (v)Revised January 2023 (vi)Revised May 2023	IN PROGRESS To undertake a targeted bulk data matching exercise. Delays encountered in seeking buy-in. Further to finalisation of legal agreement with Registered Provider, this exercise can commence.

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3i FINANCIAL RESILIENCE AND COMMERCIAL ASSETS	3i. Developing a long-term relationship management strategy with existing tenants	March 2023	Incumbent Group Head Assets	(i).July 2023	NEW ACTION
3ii. FINANCIAL RESILIENCE AND COMMERCIAL ASSETS	3ii.Consider and pursue any forthcoming recommendations from CIPFA and DLUCH review of Capital risk mitigation	March 2023	Incumbent Group Head Assets / Deputy Chief Executive/ Chief Finance Officer	(i).TBC	NEW ACTION
4.FINANCIAL RESILIENCE AND COMMUNITIES	4i. Progressing medium term financial strategy and efficiency savings plan in addressing budget deficit	Periodical Review	All Senior Management & Chief Finance Officer/Chief Accountant	(i)TBC	NEW ACTION
5.TREASURY MANAGEMENT	5i. Finalisation of the Council's borrowing strategy with Treasury Management Advisors in the context of the challenges presented in the current financial environment	October 2022	Deputy Chief Executive/ Chief Finance Officer <i>Action reviewed by Deputy Chief Executive (CFO) in February 2023</i>	(i)December 2022 (ii) Revised June 2023	IN PROGRESS. Several options are being considered as referred to on the register.
6. SUSTAINABILITY & CLIMATE CHANGE	6i Following approval of the £747k Green Initiatives Fund as part of the Council's 2021/22 Budget, recommendations to be made as to how to apply that fund including provision for salary of climate change officer post.	March 2021	Lead Officer - Group Head Commissioning & Transformation (Sandy Muirhead) <i>Action reviewed by Group Head Commissioning & Transformation 10.2.22 & 26.10.22 & 27.2.23.</i>	(i)June 2021 (ii)Revised October 2022 (iii)Revised March 2023 (iv)Revised June 2023	IN PROGRESS Environment and Sustainability Committee of January 2022 agreed framework for prioritising bids to the Green Initiatives provision. Bids submitted to date

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					cover a range of topics and more will be brought forward to Committee over the next 6 months including solar panels, wildflower meadows, development of biodiversity and mitigation of flood risk for Sweeps Ditch in Staines Park.
6. SUSTAINABILITY & CLIMATE CHANGE	6ii. Training is being arranged to raise awareness and enhance understanding of Climate Change issues across the Council (staff and Councillors).	June 2022	Lead Officer - Group Head Commissioning & Transformation (Sandy Muirhead) reviewed 26.10.22 & 27.2.23.	(i)September 2022 (ii) Revised June 2023	IN PROGRESS Training delivered to initial group of staff September 2022 and starting to be rolled out in 2023 to all staff. As part of the induction process Councillors will be provided with training on climate change.
7. CORPORATE CAPACITY, RESOURCES,	7i. Monitoring impact of departure of experienced officers and managing	March 2021	ALL / Group Head Commissioning &	Continuous action	ONGOING Spelthorne are Members of South East

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<p>RECRUITMENT AND RETENTION</p>	<p>associated loss of organisational knowledge and talent. Review of staff retention measures to reduce and mitigate the risk of staff departures.</p>		<p>Transformation (Sandy Muirhead) <i>Action reviewed by Group Head Commissioning & Transformation 10.2.22/26.10.22 /February 2023</i></p>		<p>Employers newly formed Reward and Recognition Network to share best practice and learn from new initiatives.</p>
<p>7.CORPORATE CAPACITY, RESOURCES, RECRUITMENT AND RETENTION</p>	<p>7ii. The continuation of excessive workload pressures exacerbated further by the Committee system of Governance and demands arising from new schemes / initiatives in supporting communities needs to be kept under regular review in view of the significant risk implications (as set out on the Corporate Risk Register at Appendix 1).</p>	<p>February 2022</p>	<p>Management Team <i>Action reviewed November 2022</i> <i>Group Head Commissioning & Transformation (Sandy Muirhead) reviewed action in February 2023</i></p>	<p>Continuous action</p>	<p>ONGOING & IN PROGRESS Revenue Monitoring Reports to Committee highlight variances between Budgeted FTE and actual FTEs (not including agency and temps). CPRC has agreed for an Establishment Review of the Council to be undertaken. Recommendations of the LGA Corporate Peer Review need to be addressed.</p>

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7.CORPORATE CAPACITY, RESOURCES, RECRUITMENT AND RETENTION	7iii. Continue to explore new and innovative recruitment and retention strategies in a competitive market.	February 2022	<p>Group Head Commissioning & Transformation (Sandy Muirhead) and HR Managers</p> <p><i>Action reviewed by Group Head Commissioning & Transformation (Sandy Muirhead) 24.6.22/26.10.22/February 2023 .</i></p>	<p>(i)June 2022 (ii)Revised October 2022 (iii)Revised February 2023 (iv)Revised July 2023</p>	<p>IN PROGRESS</p> <p>Collaborative working with professional groups such as South East Employers to explore options and strategies. This is a 'work in progress'.</p>
8.EQUALITY, DIVERSITY AND INCLUSIVITY	8i. Produce an Equality, Diversity, and Inclusivity Strategy for the Council. This will provide a more robust structured approach in delivering and embedding essential, principles, standards and requirements in promoting equal opportunities, diversity and inclusivity.	October 2022	<p>MAT hold overall accountability and will need to assign a lead Officer to support production of a strategy together with appropriate resources.</p> <p><i>Group Head Commissioning & Transformation (Sandy Muirhead) reviewed action in February 2023</i></p>	<p>(i)March 2023 (ii)July 2023</p>	<p>IN PROGRESS</p> <p>Statement of Intent and equality objectives produced as a first step, and internal and external website updated.</p> <p>Progression is dependent upon establishing resources to take forward.</p>

COMPLETED ACTIONS IN GREEN

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2. ECONOMY	2i. The Economic Prosperity Strategy is being reviewed and fully refreshed to cover 2023 – 2028. It will incorporate any residual actions from the corporate recovery plan.	June 2022	Group Head Place, Protection and Prosperity (Heather Morgan) <i>reviewed 27.10.22 and 20.02.23</i>	(i) September 2022 (ii) Revised January 2023	COMPLETED ACTION Economic Prosperity Strategy approved by ED Committee 12 January 2023.
3. FINANCIAL RESILIENCE AND COMMERCIAL ASSETS	RC 3ii. Continued application of CIPFA'S Financial Management Code (responsibility of whole organisation) in close alignment with the LGA Financial Peer Review recommendations.	March 2021	Lead Officer - Deputy Chief Executive - Chief Finance Officer <i>Action reviewed by Deputy Chief Executive 15.10.21, February 2022, June 2022.</i>	Addressed over course of time so added to completed actions	COMPLETED ACTION Financial Management Code Self-Assessment taken to November 2021 Audit Committee. Action Plan for Finance Peer Review recommendations periodically reported to Corporate Policy and Resources and Audit Committee.
3.FINANCIAL RESILIENCE AND COMMERCIAL ASSETS	3i. Extending the scenario modelling for sinking fund adequacy from 10 years to 20 years. Review of the sinking fund methodology.	2022	Current Operational Lead for Assets - Deputy Chief Executive, Lee O'Neil	(i) December 2022	COMPLETED ACTION February 2023 CPRC agreed report on review of the sinking fund methodology /

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			<p><i>Action reviewed by Deputy Chief Executive - Chief Finance Officer 17.6.22 & 14.10.22 & February 2023</i></p> <p><i>From 14 March 2023 responsibility for maintaining Sinking Fund modelling passes from Assets to Finance.</i></p>		<p>approach and confirming strategy. CPRC also agreed updated Reserves Strategy.</p>
4. FINANCIAL RESILIENCE AND SUPPORTING COMMUNITIES	RC4i. Identifying additional inflationary pressures impacting the Council's budget and financial position	June 2022	Lead Officer - Deputy Chief Executive - Chief Finance Officer	July 2022	COMPLETED ACTION Report to CPRC July 2022 identifying additional inflationary pressures of approximately £1.2m impacting on the 2023/24 budget. A number of mitigating actions are being taken to tighten the 2023-24 Budget process (see register).
6. SUSTAINABILITY & CLIMATE CHANGE	6i. Developed an action plan to move the Council towards net zero carbon emissions	June 2022	Lead Officer - Group Head Commissioning & Transformation (Sandy Muirhead). <i>Reviewed October 2022</i>	(i)October 2022	COMPLETED ACTION Agreed at Environment and Sustainability Committee September 2022
6.SUSTAINABILITY & CLIMATE CHANGE	6iii. County have developed a strategy on climate change	March 2021	Lead Officer - Group Head Commissioning &	(i)Revised September	COMPLETED ACTION Worked in partnership

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	Greener Futures Delivery Plan		Transformation (Sandy Muirhead) <i>Action reviewed by Group Head Commissioning & Transformation 10.2.22 & 24.6.22 & 26.10.22</i>	2022 (previously ongoing)	with SCC / Boroughs and Districts to develop a Climate Change strategy and related actions with a view
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