

**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 JUNE 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, 20.02.23,31.5.23,13.6.23</i>	(i) March 2022 (ii) Revised – June 2023 (iii) Revised January 2024 (TBC)	<b>IN PROGRESS</b> The Local Plan Examination Hearings started on 23 May. At the ECM on 6 June councillors agreed “Spelthorne Borough Council formally request the Planning Inspector to pause the Examination Hearings into the Local Plan for a period of three months to allow time for the new council to understand and review the policies and implications of the Local Plan, and after the three month pause the Council will decide

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					<p>what actions may be necessary before the Local Plan examination may proceed”.</p> <p>This will impact/delay adoption of New Local Plan.</p>
1a. HOUSING – Development & Targets	1a (ii) Continue to pursue rigorous application process of Knowle Green Estates becoming a Registered Provider which will enable it to benefit from Homes England grant funding. Without Homes England grant funding, the Council’s affordable rental and keyworker schemes will not be viable.	June 2023	Chief Finance Officer, Group Head for Assets, Chief Accountant, and KGE Board	(i)December 2024	<p><b>NEW ACTION &amp; IN PROGRESS</b></p> <p>Following the steer set by 2<sup>nd</sup> February Council; KGE Board has approved an action plan for achieving Registered Provider (expected to take 12-18 months) and has identified potential advisers to assist with the application process- procurement to be undertaken. Report to come to July CPRC.</p>
1b HOUSING – Affordable	1b (i). Service Level Agreement to be put in place with registered providers to	March 2020	Lead - Housing Strategy Manager (Marta Imig)	(i)October 2021	<p><b>IN PROGRESS</b></p> <p>Agreement in place with Registered</p>

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	establish and take forward cases of any alleged tenancy fraud with a view to freeing up social housing.		<i>Action reviewed by Housing Strategy Manager on 3.10.2021,28.1.22,28.6.22, February 2023, 24.5.23</i>	(ii) Revised March 2022 (iii) Revised July 2022 (iv) Revised October 2022 (v)Revised January 2023 (vi)Revised May 2023 (vii)Revised October 2023	Provider and project to undertake a targeted bulk data matching exercise has commenced. The work has now started on this project with first results of the matching exercise expected soon.
1b HOUSING _ Affordable	With Afghan residents in Bridging Hotel in Staines being given until 16th August to quit, this presents a risk that substantial number will present as homeless to the Council. Currently 26 families live in the hotel, all of whom have been served eviction notices to vacate the premisses. Acquisition of properties to support refugees forms an important strategy that the Council is pursuing.	June 2023	Group Head Community Well Being Group Head Assets Deputy Chief Executive	August 2023	<b>NEW ACTION &amp; IN PROGRESS</b> Council participated in LAFG Round 1 committing to purchasing 11 properties – 1 already acquired (SBC first Council in Surrey to complete a purchase) a further 3 about to be purchased and balance of 11 identified and being brought to Development Sub-Committee for

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					<p>approval. Council potentially participating in Round 2 of LAHF to acquire a further 4 properties. Community Wellbeing and Housing Committee 13th June approved in principle and report will be considered by CPRC on 26th June.</p> <p>Refugee support coordinators providing support to residents in the hotel and assisting families to look for accommodation</p>
3i FINANCIAL RESILIENCE AND COMMERCIAL ASSETS	3i. Developing a long-term relationship management strategy with existing tenants as part of a new Investment Asset strategy.	March 2023	Group Head Assets	(i). July 2023 (ii) Revised October 2023	<b>IN PROGRESS.</b> This action will form part of the new overarching Asset Management Strategy being developed and due to be reported to Corporate Policy & Resources Committee in Autumn 2023.

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3i FINANCIAL RESILIENCE AND COMMERCIAL ASSETS	3ii.Develop and implement a Public Interest Report Action Plan for approval by Audit Committee	June 2023	Chief Finance Officer, Group Head for Assets, Chief Accountant	July 2023	<b>NEW ACTION &amp; IN PROGRESS</b> - Draft Action Plan coming to Development Sub-Committee on 3 <sup>rd</sup> July and Audit Committee on 27 <sup>th</sup> July for approval by Councillors.
3i FINANCIAL RESILIENCE AND COMMERCIAL ASSETS	3iii. A full review and refresh of the sinking funds modelling will be undertaken in 2023-24	June 2023	Chief Finance Officer & Chief Accountant	December 2023	<b>NEW ACTION &amp; IN PROGRESS</b> As previously agreed with CPRC and as part of PIR Action Plan, 50-year refresh of the modelling will be undertaken by autumn and will feed into 2024-25 Outline Budget process.
3ii. FINANCIAL RESILIENCE AND COMMERCIAL ASSETS	3iv.Consider and pursue any forthcoming recommendations from CIPFA and DLUHC review of Capital risk mitigation. Risk is that could result in restrictions as to how much borrowing the Council can	March 2023	Group Head Assets / Deputy Chief Executive/ Chief Finance Officer	(i)TBC	<b>PENDING</b> outcome of DLUHC review. Linked to emerging Asset Management Strategy referred to at 3i. Finance and Assets are looking at other approaches as to how

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	access in the future which could in turn impact financial resilience.				schemes could be delivered with reduced borrowing (maximising grants, joint ventures, sales of individual residential units etc)
4.FINANCIAL RESILIENCE AND COMMUNITIES	4i. Progressing medium term financial strategy and efficiency savings plan in addressing budget deficit	March 2023	All Senior Management & Chief Finance Officer/Chief Accountant	(i)TBC	<b>IN PROGRESS</b> Following completion of close of accounts on time, services are currently completing Service Plans which will then feed into the refresh of the Outline Budget projections this summer and the detailed budget. Update on Budget position being shared at all councillors Budget Briefing
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 &amp; 2.6.23</i>	(i)December 2022 (ii) Revised June 2023	<b>ONGOING</b> . This exercise is completed and continues to coincide with the relevant period / financial year. The status will therefore remain as ongoing.

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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 &amp; Transformation 10.2.22, 26.10.22, 27.2.23, 1.6.23</i>	(i)June 2021 (ii)Revised October 2022 (iii)Revised March 2023 (iv)Revised June 2023	<b>IN PROGRESS</b> Bids for the Green Initiatives fund submitted to date cover a range of topics and more will be brought forward to Environment and Sustainability Committee over the next year 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, 1.6.23.	(i)September 2022 (ii) Revised June 2023 (iii) Revised December 2023	<b>IN PROGRESS</b> Training delivered to initial group of staff September 2022 and being rolled out in 2023 to all staff. As of May 2023, 55 staff have undertaken the training with positive feedback.

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					As part of the induction process Councillors will be provided with training on Climate Change in June 2023.
7. CORPORATE CAPACITY, RESOURCES, RECRUITMENT AND RETENTION	7i. Monitoring impact of departure of experienced officers and managing associated loss of organisational knowledge and talent. Review of staff retention measures to reduce and mitigate the risk of staff departures.	March 2021	ALL / Group Head Commissioning & Transformation (Sandy Muirhead)  <i>Action reviewed by Group Head Commissioning &amp; Transformation 10.2.22/26.10.22 /February 2023, 1.6.23</i>	Continuous action	<b>ONGOING</b> Spelthorne are Members of Southeast Employers newly formed Reward and Recognition Network to share best practice and learn from new initiatives. Recruitment and retention are a widespread problem within local authorities in the south east.  Establishment Review of the Council is nearing completion in July 2023.
7.CORPORATE CAPACITY, RESOURCES,	7ii. The continuation of excessive workload pressures generated by strategic political steers (including	February 2022	Management Team  <i>Group Head Commissioning &amp;</i>	Continuous action	<b>ONGOING &amp; IN PROGRESS</b>



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RECRUITMENT AND RETENTION	strategic planning, finance and assets), 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).		<i>Transformation (Sandy Muirhead) reviewed action in February 2023 and 1.6.23</i>		CPRC agreed for an Establishment Review of the Council to be undertaken. This is nearing completion in July 2023. Recommendations of the LGA Corporate Peer Review need to be addressed. Report on action plan going to Corporate Policy and Resources Committee on 26 <sup>th</sup> June.
7.CORPORATE CAPACITY, RESOURCES, RECRUITMENT AND RETENTION	7iii. Continue to explore new and innovative recruitment and retention strategies in a competitive market.	February 2022	Group Head Commissioning & Transformation (Sandy Muirhead) and HR Managers  <i>Action reviewed by Group Head Commissioning &amp; Transformation (Sandy Muirhead)</i>	(i)June 2022 (ii)Revised October 2022 (iii)Revised February 2023 (iv)Revised July 2023 (v)Revised September 2023	<b>IN PROGRESS</b> Collaborative working with professional groups such as Southeast Employers to explore options and strategies. This is a 'work in progress.'

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			<i>24.6.22/26.10.22/February 2023 and 1.6.23.</i>		
8.EQUALITY, DIVERSITY, AND INCLUSIVITY	8i. Produce an Equality, Diversity, and Inclusivity Strategy for the Council. This will provide a more robust structured approach in delivering and embedding essential, principles, standards, and requirements in promoting equal opportunities, diversity, and inclusivity.	October 2022	MAT hold overall accountability and will need to assign a lead Officer to support production of a strategy together with appropriate resources.  <i>Action reviewed by Group Head Commissioning &amp; Transformation (Sandy Muirhead) - February 2023 and 1.6.23</i>	(i)March 2023 (ii)July 2023 (iii) October 2023	<b>IN PROGRESS</b> Statement of Intent and equality objectives produced as a first step, and internal and external website updated.  Progression is dependent upon establishing resources to take forward.

**COMPLETED ACTIONS IN GREEN SINCE LAST REVIEW OF THE CORPORATE RISK REGISTER**

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<p>1a. HOUSING – Development &amp; Targets</p>	<p>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).</p>	<p>October 2021</p>	<p>Lead - Management Team  <i>Action reviewed by Chief Finance Officer, 14.10.22, February 2023, 2.6.23</i></p>	<p>(i)March 2022 (ii)Revised – September 2022 (iii)Revised January 2023</p>	<p><b>COMPLETED</b>  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.  At June 2023, a process is underway for KGE to become a Registered Provider.</p>
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