

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Risk Scoring Matrix (Plotted June 2023 for current RAG rating and current risk score in consultation with Officers)

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

When assessing the Council's risks in terms of likelihood and impact, we take into account the national and global picture for wider externalities such as the macroeconomic environment and geopolitical factors. Spelthorne's operations remain influenced by these external challenges and pressures, as is the case for other Councils. Due to these externalities, there are many activities that the Council cannot directly control/mitigate, or influence and continued recognition is important. **Red** risks require prompt, planned management action **Amber** risks require planned management action **Green** risks are accepted risks. RC = Risk category on the detailed register e.g., RC2 = Risk Category 2 – Economy. This is also referred to on the matrix for ease of reference.

IMPACT	4 (Catastrophic)				
	3 (Major)			RC2 -Economy RC3 - Commercial Assets RC5 -Treasury Management RC6 –Climate Change RC8- E,D,I RC9 – Across Local Govt	RC1a – Housing (Development Targets) RC1b – Housing (Affordable) RC4 -Finance & Communities RC7 Resources
	2 (Medium)				
	1 (Trivial)				
		1 (Rare)	2 (Unlikely)	3 (Likely)	4 (Almost certain)
		Likelihood			

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

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How risks are scored:

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

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

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

KEY TO TERMINOLOGY (SEE RISK REGISTER BELOW)

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

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Risk Category 1a - Housing – Development and Targets

Corporate Priority Areas	Ownership & Accountability for Risk	Lead Officer (s) Risk Category 1a
Supporting Communities Affordable Housing Service Delivery	Management Team CPRC - Development Sub-Committee ESC (for Local Plan)	Group Head Assets Group Head Place, Protection and Prosperity (Heather Morgan) Deputy Chief Executive (Terry Collier)

Previous RAG Status (March 2023)	Current RAG Status (June 2023)	Previous Risk Score (March 2023)	Current Risk Score (June 2023)
		12	12

Risk Descriptions

1a (i) The delays in decisions, which occurred due to a number of factors, appear to have been a key contributory cause in schemes not taking off/progressing, leading to rising overall costs, and risk of adverse financial position of the Council. **The risk of adverse impact from past delay and any further delay has now increased in the context of rising interest rates and significant construction inflation. The extent to which such variables - interest rates and construction inflation may eventually fall remains uncertain, presenting new options for slowing down scheme delivery and construction in seeking the optimal financial outcome for the Council.**

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

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

1a (iv) Any delays in the examination and adoption of the Local Plan are likely to continue to impact on the ability to bring forward the appropriate quantum of housing development. The publication version of the Local Plan started undergoing an external independent Examination by the Planning Inspectorate in May 2023, and has been deferred following the Extraordinary Council Meeting on 6 June 2023 where it was agreed to pause the Local Plan for three months to enable new Councillor's to review the Plan and process. This further delay to the examination hearings and adoption of the Local Plan runs a number of significant risks including:

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

- The prospect of additional pressure on our Local Plan to meet the housing need of other boroughs (in particular those neighboring authorities who have not built on greenbelt);
- A lack of certainty around housing delivery (5-year supply);
- Risk of legal challenge;
- The prospect of unsuitable developments coming forward either on green belt sites or within town centres such as Staines, exposing the Council to greater risk of supporting such developments in the absence of a sound plan to rely on. Subsequent increased levels of overall build across Spelthorne carry far reaching implications (environment, infrastructure etc.)

1a (v) Risk of potential uncertainty over future NHS Capital settlement to fund major development.

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
Original approved timetable for adoption of the Local Plan will be impacted by a three month pause to Local Plan agreed at ECM on 6 June 2023.	Annual Housing Delivery Test Action Plan
Viability assessments for development schemes required to take account of accelerating costs to determine ongoing financial viability	Annual Planning Performance report. Robust viability assessment of schemes undertaken by independent experts appointed by the LPA.
Exploring alternative options and funding opportunities in supporting delivery of development schemes (such as Grant funding) and joint venture opportunities	Financial monitoring and reporting; quantifying the impact of delayed property schemes on the Council's budgetary position as well as outlining mitigating actions moving forward, implementing the strategy agreed by February 2023 ECM, as set out below.
Weekly progress reporting of Property Development projects to officer Development Investment Group (DIG)	Exploring and reviewing options for reducing amount of borrowing required to fund the Housing Delivery programme. Options being explored set out below: <ul style="list-style-type: none"> i) Exploring grant funding options to fund part of the residential developments –meetings with Homes England. Also exploring with One Public Estate future potential of Brownfield Release grant funding and BEIS green energy grants. ii) Changing the tenure mix of residential schemes to include element of sales of units (reducing the amount of long-term borrowing required) iii) Reviewing with Treasury Management advisors borrowing strategy – this represents an ongoing process

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

	<p>iv) Bringing forward capitalisation proposals for KGE along with blended mix of the above as to how the Council can facilitate transfer of completed residential schemes at a cost which is financially viable for KGE.</p> <p>v) Undertaking Value re-engineering</p> <p>Above covered at Extraordinary Council Meeting on 02 February 2023.</p>
	Initiating application process of Knowle Green Estates becoming a Registered Provider which will enable it to benefit from Homes England grant funding. Process involves detailed external scrutiny of governance, policies and procedures and review of a 30 year Business Plan.
Bi-monthly Assets Portfolio Working Group (with Chair and Vice-Chair of both Corporate Policy and Resources Committee (CPRC) and Development Sub-Committee	
Regular advisory reports to relevant Committee/Sub-Committee regarding status of schemes, to inform decision making	CPRC agreed an Appropriation policy for treating any long-term surpluses generated by KGE
CPRC policy steer regarding options for repatriating surplus funds from KGE over the long term; KGE annual report to CPRC; established policies and framework.	On 28 November 2022 CPRC received the KGE annual report. ECM on 02 February 2023 agreed a new strategic approach to put the Council's residential delivery programme on a financially sustainable basis and to protect the viability of KGE.

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

What is the indicative/additional indicative risk score after considering further mitigation measures set out in the Risk Action Plan? (At June 2023)	<p>Direction of Travel After considering further mitigation set out in the Risk Action Plan? (Either)</p> <ul style="list-style-type: none"> - Maintained risk score and RAG status - Reduced score with no change to RAG status - Reduced score and RAG status
12	Maintained risk score and RAG status

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Risk Category 1b - Housing – Affordable

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

Previous RAG Status (March 2023)	Current RAG Status (June 2023)	Previous Risk Score (March 2023)	Current Risk Score (June 2023)
		12	12

Risk Descriptions
<p>1b (i) Lack of affordable housing supply increases homelessness</p> <p>1b (ii) Housing provision (types of units) does not meet local resident needs or address client special needs for accommodation. Any delay in adopting the Local Plan does not assist in progressing a wide spread of units for differing needs.</p> <p>1b (iii) The Domestic Abuse Act presents additional pressures and demand as there is a requirement for victims of domestic abuse to be prioritised and rehoused in secure accommodation (parameters of what constitutes domestic abuse expanded under latest legislation)</p> <p>1b (iv) The ongoing conflict in Ukraine and refugee situation, particularly the Government decision to close Afghan Bridging hotels by end of August 2023, presents additional pressures in ensuring that fundamental needs are met in supporting new communities. Spelthorne participates in the Local Authority Housing Fund programme to acquire properties to house homeless refugees. The funding is insufficient to be able to acquire the total number of properties required and the Council has to contribute financially to each purchase. The delivery of the programme will be completed after the closure of the Bridging Hotels, thus there will be a gap period during which time the Council will be required to provide temporary accommodation to homeless households. There is Government funding for temporary placements, however the borough lacks the number of temporary accommodation available for the placements. As a result, the Council is at risk of placing households in properties which are not in the borough and/or unsuitable in other ways. Not only is this disruptive for the households themselves, but the Council potentially faces legal challenge and complaints to the Ombudsman. Spelthorne expects an increased number of homeless approaches from the asylum hotel within the borough as well as other dispersed accommodation, however there is very limited funding available for housing asylum seekers which could adversely impact these communities.</p> <p>1b (v) There is also pressure from neighbouring and London authorities placing households in the borough, often without our knowledge, however the Council has no powers to prevent this. It further reduces supply.</p> <p>1b (vi) Managing demand for social housing is extremely challenging given that anyone with a local connection can apply for housing to any Council.</p> <p>1b (vii) Cost of Living crisis and rising interest rates are adding increased pressure to (a) homeowners and landlords in repayment of mortgages as variable rates spiral. This causes landlords to increase rental charges presenting more homelessness cases (if rents cannot be afforded) with increased demand for social housing.</p>

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

The above risks lead to increased costs and pressure on the Council's Housing Service in responding to homelessness and growing numbers on the Housing register, impacting delivery of affordable housing provision across the borough. If fundamental housing needs are not met / maintained this may have a negative impact on the health and wellbeing of individuals / families. Legal challenge is likely and an increase in complaints and referrals to the Ombudsman. Furthermore, there is a risk to the health safety and welfare of staff dealing with families in housing crisis as they become frustrated and at times abusive.

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
As part of the Housing Delivery Programme, Affordable Housing provision extends beyond those development schemes acquired by Spelthorne Borough Council (direct delivery)	Government funding to assist vulnerable families in rent arrears and who are at threat of eviction. Additional support is being provided to vulnerable residents to assist with tenancy sustainment through floating support funded by the government's Rough Sleeping Initiative. Capacity for quality advice provision has been extended for the Citizen's Advice to support the community.
Collaborative working with Registered Social Landlords and Partners to pursue delivery of affordable housing need. Some new developments with affordable housing units are expected later this year through Registered Providers. 22 units are expected later this year from A2D and further 48 units from PA Housing	Collaborative initiatives with Surrey County Council (e.g., Drug and alcohol abuse)
In complying with Homelessness Reduction Act, proactive measures taken to address risk of homelessness	Monitoring of Housing Register levels (currently approx. 3,800 households on the register). Re-registration process will take place this summer in accordance with the new terms of the revised Allocation Policy.
Measures to support Rough Sleepers, Afghan and Ukrainian refugee families under the government funded relocation and assistance scheme, including dedicated support workers. Applying Home Office funding to provide additional support to refugees.	Council applying for maximum grant funding for both Afghan and Ukrainian schemes and looking to put in place wrap around housing support to mitigate as much as possible housing accommodation risk pressures. Discussions underway with the Spelthorne hotel currently housing Afghan refugees in planning future arrangements for housing homeless clients.

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Purchasing properties to accommodate Ukrainian and Afghan families initially (longer term available for general housing needs) part funded by the Government Local Authority Housing Fund capital funding	Participation in Local Authority Housing Fund Round 1 approved by Corporate Policy and Resources Committee (CPRC). Currently on track already to secure all 11 target properties, including the one 4 bed property specifically for larger Afghan families (which attracts higher level of grant funding). 26 th June CPRC to consider participation in Round 2 to acquire a further 4 properties.
Housing and Homelessness Strategies. Quarterly Strategic Action Plan monitoring. Regular review by officer Strategic Housing Group. Member approved tenancy strategy	Counter Fraud bulk data matching initiative is underway with A2D, with the objective of identifying potential social housing fraud occurrences, to free up social housing for those in genuine need
Surrey reciprocal arrangement to re-house applicants across boroughs where local connection confirmed	The Housing Team have written to other Councils reminding them of legal obligation to notify where placing households in the borough
£35m property acquisition scheme via KGE – Knowle Green Estates to purchase and manage readymade properties approved by Full Council in February 2022, forming part of the capital programme. A process flowchart incorporates due diligence at key stages	The street property acquisition project is to be partially funded by Homes England to assist with viability in context of the higher cost of borrowing.
S106 agreements with Developers	Strengthened the review process for s106 agreements to capture any potential additional affordable housing due to an uplift in value.

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

What is the indicative/additional risk score after considering further mitigation measures set out in the Risk Action Plan? (At March 2023)	Direction of Travel After Considering further mitigation set out in the Risk Action Plan? (Either) - Maintained risk score and RAG status - Reduced score with no change to RAG status - Reduced score and RAG status
12	Maintained risk score and RAG status.

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Risk Category 2 – Economy

Corporate Priority Areas	Ownership & Accountability for Risk	Lead Officer (s) Risk Category 2
Supporting Communities Recovery from COVID	Management Team Economic Development Committee	Group Head Place, Protection and Prosperity (Heather Morgan)

Previous RAG Status (March 2023)	Current RAG Status (June 2023)	Previous Risk Score (March 2023)	Current Risk Score (June 2023)
		9	9

Risk Descriptions
<p>Evolving national economic strategy and policy and ongoing recovery from previous pandemic lockdowns continue to impact economic well-being locally, nationally and globally. This is now being compounded by continued impact of the Cost-of-Living crisis. The risk implications and threats to the Council are:</p> <ul style="list-style-type: none"> Residual risk to be accepted – whilst Council actions aim to support businesses and the local economy, these actions alone can only have a limited impact due to the overarching effects and long-term uncertainty of the macroeconomic environment, market volatility and geopolitical factors over which the Council has incredibly little influence. Significant longer-term reduction in income (fees and charges, such as parking and retail lettings of the Elmsleigh Centre) with decreased footfall in the town centres and uncertainty around future consumer activity patterns. This will continue to impact the Council's finances. The potential for increased level of business failures as a result of wider economic instability (inflationary pressures and increase in borrowing) and the need to pass on increased costs to the consumer. This impacts the economic prosperity of the borough and affects collections rates for business rate income, with reduced levels impacting finances and services available. The current economic environment may increase occurrences of anti-social behaviour, theft and fraud

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
<p>An Economic Prosperity Strategy has been developed (2023 – 2028) which addresses the key actions which face the borough. It incorporates a detailed strategy action plan detailing performance management measures in anticipating outcomes. This was agreed by the Economic Development Committee on 12 January 2023.</p>	<p>Government assisted Energy Bills Support Scheme (EBSS) to support increased energy costs / bills.</p> <p>On 12 January 2023, the Economic Development Committee agreed a Town Centres Strategy for 2023 which sets out a series of key actions for our smaller shopping areas and parades. These</p>

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<p>https://democracy.spelthorne.gov.uk/documents/s46623/App%20A%202023-28%20Economic%20Strategyv4.pdf</p>	<p>will provide targeted support and interventions, with timescales and measures of success clearly identified.</p> <p>https://democracy.spelthorne.gov.uk/documents/s46628/TCM%20Strategy%20FINAL.pdf</p>
<p>Shared Prosperity Fund Investment Plan was submitted to government in August 2022 highlighting local priorities and projects to assist with economic regeneration (£1m to spend over three years but with 88% backloaded to 2024/25). DLUHC confirmed in December 2022 that our Investment Plan has been approved and the first tranche of monies were received in February 2023.</p> <p>https://democracy.spelthorne.gov.uk/documents/s44963/CPR%20Ctee%2011.7.22%20SPF%20report%20v2.pdf</p>	<p>On 10 October 2022, Corporate Policy and Resources Committee approved frontloading of Shared Prosperity Fund schemes from the retained business rates retention reserve. This is to ensure that projects can be delivered in the immediate future (when they are needed) rather than waiting for government funding to come forward in 2024/25.</p> <p>https://democracy.spelthorne.gov.uk/documents/s46672/CPRC%2010.10.22%20-%20SPF%20and%20BBR.pdf</p> <p>A separate report went to ED committee in January 2023. Local mitigating measures taken by the Economic Development team (to influence areas where a degree of local control can be applied). These include measures to strengthen the resilience of local businesses in the face of future challenges enabling access to new equipment, free professional coaching and training on social media, free cost reduction clinics, free websites etc.</p> <p>Business incubator to support entrepreneurs. Provision of a Youth Hub to provide support into employment / training / education for 16 – 24-year-olds funded by DWP. In Spring 2023 this has become an Employment & Skills Hub focusing on both younger and older age groups.</p>
<p>Monthly monitoring of Business Rates and Council Tax collection rates as part of monitoring the effect of current pressures such as the Cost-of-Living crisis on the collection fund. Regular reporting on collection rates to Corporate Debt Group and as part of KPI's to Councillors. For first two months of 2023-24 Council Tax collection reported as up by 0.3% on same period in 2022-23.</p>	

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks (there are no further specific actions for this risk category 2 (Economy) in the Risk Action Plan)

What is the indicative/additional risk score after considering further mitigation measures set out in the Risk Action Plan? (At June 2023)	Direction of Travel After Considering further mitigation set out in the Risk Action Plan? (Either) <ul style="list-style-type: none">- Maintained risk score and RAG status- Reduced risk score with no change to RAG status- Reduced risk score and RAG status
9	Maintained risk score and RAG status

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Risk Category 3 – Financial Resilience and Commercial Assets

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

Previous RAG Status (March 2023)	Current RAG Status (June 2023)	Previous Risk Score (March 2023)	Current Risk Score (June 2023)
		9	9

Risk Descriptions

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

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
<p>Public Interest Report Action Plan being put in place.</p> <p>A new approach to ensuring the certainty of the Council's rental income is being developed. This is also referred to on the Risk Action Plan (Appendix B) and includes:</p> <ul style="list-style-type: none"> an overarching Asset Management Strategy around the proactive way the Council manages and monitors tenants and their ability to pay rental income, minimize void costs via early identification of space coming back through tenant failure or the termination of leases via surrender, expiry or break options, resulting in the need for space to be re-let. 	<p>The Council is continuing to increase its sinking funds which increased from £26m to £34m at the end of 2021-22 and £37.8m at the end of 2022-23.</p> <p>Ten-year worst and expected case sinking fund scenario projections are reviewed fortnightly and will be shortly extended to a 20-year time frame.</p> <p>February CPRC 2023 approved refreshed Sinking Fund Policy and Strategy. A full review and refresh of the sinking funds modelling will be undertaken in 2023-24 and linked to refreshed risk management and performance management measures underway as part of the Public Interest Report Action Plan.</p>

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<ul style="list-style-type: none"> • Asset Investment Strategies for all assets focused on the coming 12 month period • Medium term business plans that consider the assets over a 5 year period <p>This focused approach is supplemented by performance management measures – developing KPIs which are reviewed annually and benchmarked against external, regional property indicators i.e., vacancy rates, market rentals, occupier demand and so on.</p> <p>The KPIs are linked to an Assets specific risk register that identifies the level of risk without mitigation, the proposed mitigation and reduced resultant risk.</p> <p>In addition, investment performance is monitored bi-monthly at weekly Councillor Assets Portfolio Working Group, and a six-monthly performance report is taken to Full Council for the Investment Portfolio.</p> <p>Currently 87.1% of overall Investment Portfolio let but expected to rise back to 91% in the summer of 2023 once a significant new tenant takes occupancy. Rent collection rates remain at 99+%.</p>	
<p>The Assets team continue to use letting agents to secure new tenants on market terms. Financial checks are carried out on prospective new tenants and credit positions are reviewed bi-annually for all tenants.</p>	<p>Periodical financial health check of tenants and continued close liaison and building strong relationships allows accurate forecast when tenants are struggling or intend to move on, which are the main factors that would result in late or non-payment of rent.</p>
<p>Most of the investment assets have had their Business Plans approved by the Development Sub-Committee.</p>	<p>Ongoing management of voids with a view to reducing the portfolio void rate.</p> <p>Group Head for Assets developing new Investment Asset Strategy which will incorporate business planning and be reviewed regularly.</p>
<p>Capital Strategy (updated Strategy approved by CPRC February 2023) includes key performance indicators (being developed further) with a particular focus on the investment portfolio. Asset Management plan reviewed annually.</p>	<p>Assets team proactively working to fill voids quickly using external lettings agents, understanding market demand and the size of accommodation needed.</p>

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Development Sub Committee of Corporate Policy and Resources receives regular monitoring reports for scrutiny.	
All Councillor Budget Briefing (3 times a year) set out financial risks in context of budgetary position, informing budgetary process. July 24 th will be the next all Councillors budget briefing.	
External review on arrangements	SBC is participating in a review of capital risk mitigation with DLUHC and Chartered Institute of Public Finance and Accountancy (CIPFA) and will take on board any improvement suggestions.

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

What is the indicative/additional risk score after considering further mitigation measures set out in the Risk Action Plan? (Once these are fully implemented) (At June 2023)	Direction of Travel After Considering further mitigation set out in the Risk Action Plan? (Either) - Maintained score with no change to RAG status - Reduced score with no change to RAG status - Reduced score and RAG status
9	Maintained score with no change to RAG status

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Risk Category 4 – Financial Resilience and Supporting Communities

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

Previous RAG Status (March 2023)	Current RAG Status (June 2023)	Previous Risk Score (March 2023)	Current Risk Score (June 2023)
		12	12

Risk Descriptions
<p>4(i) Increased financial pressures faced by the Council arising from the continued inflationary pressures on fuel, gas and electricity, staff pay pressures, slowing down of the housing delivery programme, significantly increased PWLB loan rates and other external factors are collectively causing a significant increase in revenue costs and capital expenditure. This had a significant impact on the Council's balanced budget for 2023/24 and the anticipated budget deficits from 2024/25 to 2026/27.</p> <p>4(ii) Combined with reduced fee income and potential for lower collection rates of Business Rates and Council Tax (exacerbated further by the Cost-of-Living crisis) this could have an impact on the Council's ability to deliver services as well as creating greater demands on community services, leading to a negative impact on the Borough's residents and communities (economic, social, physical and mental wellbeing). Ongoing financial pressures, in worst case scenario, could lead to the Council becoming financially unsustainable.</p> <p>4(iii) If the Council's borrowing levels were to become restricted, this could impact how the Council responds to unexpected events or factors presenting uncertainty and therefore its financial resilience. (This risk may also apply to risk category 5)</p>

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
Fully refreshed Reserves Strategy approved by February 2023 CPRC	Governance reporting including financial impact of current pressures on the Council's budget. Revenue outturn report going to CPRC 26 June 2023 recommends that the £479,929 surplus on Outturn is transferred to the

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

	General Fund in the context of economic uncertainty to strengthen the Council's contingency funds.
Financial impact assessment modelling	Inflationary pressure contingency reserve to assist with the predicted budget deficit.
Cashable savings working group set up to target efficiencies and savings. This Group is making progress in identifying savings.	Proposals put forward for making efficiency savings over the next 4 years to further safeguard the authority in addressing the budget deficit.
All Councillor Budget Briefings, undertaken 3 times a year setting out financial risks in context of budgetary position, informing budgetary process.	Next Budget Briefing in July. Service Planning by managers commenced in June to feed into the Budget process (annual processes).
Procurement Projects Board set up to ensure focus on delivering value for money from procurement.	Outline Budget report approved by January 2023 CPRC provided updated medium term budget projections and set out options for refreshed medium term financial strategy. This was considered alongside the refreshed Reserves Strategy.
External review on arrangements	SBC is participating in a review of capital risk mitigation with DLUHC and Chartered Institute of Public Finance and Accountancy (CIPFA) and will take on board any improvement suggestions.

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

What is the indicative/additional risk score after considering further mitigation measures set out in the Risk Action Plan? (Once these are fully implemented) (At June 2023)	Direction of Travel After Considering further mitigation set out in the Risk Action Plan? (Either) - Maintained risk score and RAG Status - Reduced score with no change to RAG status - Reduced score and RAG status
12	Maintained risk score and RAG Status

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Risk Category 5 – Treasury Management

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

Previous RAG Status (March 2023)	Current RAG Status (June 2023)	Previous Risk Score (March 2023)	Current Risk Score (June 2023)
		9	9

Risk Descriptions
<p>5(i) If the Council receives a reduced return on long term investments and/or investments become insecure in the current / future economic climate, then this will have an adverse impact on the Council's financial position, weakening financial resilience.</p> <p style="background-color: #e0ffff;">5(ii) Stock market volatility due to uncertainty may lead to adverse investment returns.</p> <p style="background-color: #e0ffff;">5(iii) Significant rises in interest rates and increased cost of borrowing / loans influence the Council's treasury activities. This also presents positive opportunities in enabling great returns to be earned on the Council's surplus cash supporting the Revenue Budget.</p> <p>5(iv) Increasing pressure on the Council's cash flow.</p>

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
Treasury Management Strategy for 2023-24 approved by Members at February Council.	Fixed interest rate on most debt and for investment assets an interest equalisation reserve is in place. Refer also to mitigating actions under section 4 above.
Application of updated CIPFA Code of Practice and Prudential and Treasury Management Codes	Ongoing review with Treasury Management advisors regarding the Council's borrowing strategy in the context of interest rates rises and volatility – considering options such as greater internal borrowing, more short-term borrowing, generation of capital receipts to fund portion of Capital Programme.

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Performance measurement and reporting	
Aim to select counter parties of the highest credit quality	
Credit ratings monitored	
Council's investments are managed internally in consultation with specialist advisors Arlingclose. Explore options for diversifying the portfolio.	
Treasury Management training provided for all Councillors in September 2022 and financial awareness training part of new Member induction programme - 2023.	

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

What is the additional risk score after considering further mitigation measures set out in the Risk Action Plan? (Once these are fully implemented) (At June 2023)	Direction of Travel after Considering further mitigation set out in the Risk Action Plan? (Either) - Maintained score - Reduced score with no change to RAG status - Reduced score and RAG status
9	Maintained risk score and RAG status.

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Risk Category 6 – Sustainability & Climate Change

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

Previous RAG Status (March 2023)	Current RAG Status (June 2023)	Previous Risk Score (March 2023)	Current Risk Score (June 2023)
		9	9

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

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
<p><u>Targets</u> - In view of Government targets for reducing carbon emissions / greenhouse gases to tackle climate change, the Environment and Sustainability Committee will continue to explore ways to meet a carbon neutral target by 2050 or earlier (Developed an action plan to move the Council towards net zero carbon emissions, agreed at Environment and Sustainability Committee September 2022) and to make recommendations on: (i) How to apply the £747k fund (ii) Promote climate change as an issue that needs to permeate all Council areas to ensure we reduce our carbon footprint and adapt to climate change.</p>	

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<p>Continue development of a list of projects to bring forward for Green Initiatives Funding including ones on biodiversity.</p>	
<p><u>Monitoring</u> - A report is going to E & S Committee in June 2023 recommending the continuation of a climate change working group to focus on monitoring of actions towards carbon neutrality and initial assessment of ideas.</p>	
<p><u>Strategy</u> - Surrey County Council have developed a strategy on Climate Change referred to as Greener Futures Delivery Plan which the Environment and Sustainability Committee have supported. Linked Spelthorne's Climate Change strategy where appropriate to Greener Futures Delivery Plan.</p>	
<p><u>Initiatives taken</u> There are numerous examples of measures taken so far: Sustainability Strategy / Energy & Water Efficiency Policy / Currently developing climate change strategy and actions / Professional group membership to share best practice and knowledge / Implementing energy efficient measures in Council owned buildings / Increasing renewables capacity / Implementing sustainability principles within new builds undertaken by KGE. Recently solar panels at the Nursery as a renewable source of energy. Exploring options for improving energy efficiency of Nursery (including more solar panels) and Council offices.</p> <p>Officers working with relevant committees and Treasury Management advisors on how we can transition investment portfolio to a more sustainable basis.</p> <p>The Council is engaged with Talking Tree and the Open University in a net zero project aimed at involving the community in climate change opportunities and activities. As study concludes, looking to develop community gardening projects as participants keen to take forward.</p>	

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<p>Training - Continuing to roll out Carbon Literacy training days and participating staff have committed to a range of carbon saving pledges. Training days will continue for other officers to target as many staff as possible. Training will be provided for Councillors in June 2023 as part of the 2023 Induction Programme.</p>	
<p>Funding - Proposal for funding from GIF submitted for ESG study.</p>	

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

<p>What is the additional risk score after considering further mitigation measures set out in the Risk Action Plan? (Once these are fully implemented) (At March 2023)</p>	<p>Direction of Travel after Considering further mitigation set out in the Risk Action Plan? (Either)</p> <ul style="list-style-type: none"> - Maintained risk score and RAG status - Reduced score with no change to RAG status - Reduced score and RAG status
<p>9</p>	<p>Maintained risk score and RAG status.</p>

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

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

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

Previous RAG Status (March 2023)	Current RAG Status (June 2023)	Previous Risk Score (March 2023)	Current Risk Score (June 2023)
		12	12

Risk Descriptions
<p>7(i) Overstretched capacity exacerbated by the additional workload, Committee system of governance and demands arising from new schemes / initiatives in supporting communities (as well as the departure of several experienced staff) could lead to increased staff fatigue / burnout / sickness levels arising. This may impact further on employee stress levels and mental / physical wellbeing, which may also lead to reductions in expected service delivery.</p> <p>7(ii) Residual risk refers to the risk that remains after control processes and measures to eliminate some or all the inherent risks have been made. It could be deemed that due to the nature of the risk set out at 7(i) above and 7(iii) below with reference to causes and consequences, as well as the continuation of intense work pressures, some residual risk may continue. In acknowledging this, the Council may wish to either: do nothing on the basis that the controls have proven effective enough to reduce the risk to an acceptable level, OR increase or modify controls to reduce the risk to a level that is regarded acceptable OR evaluate the cost of revised control and mitigation measures vs benefits and whether this is deemed necessary to bring the risk to an acceptable level.</p> <p style="background-color: #00e0ff;">7(iii) Unsuccessful recruitment and ongoing unfilled vacancies in a challenging and competitive labour market leads to reduced availability of technical skills and relevant expertise is spread more thinly across Services. Staff shortages further exacerbate workload pressures across teams. The consequences of this risk are set out earlier at 7(i).</p> <p>7(iv) Ineffective or inappropriate recruitment exacerbated by the skill shortages within the local government market could result in appointments that fail to effectively meet business need leading to reduced service quality and/or periods of ongoing vacancies.</p> <p>7(v) Alternative patterns of working such as hybrid models may present both risks and opportunities. Some of the perceived risks could include reduced output and productivity, increased fraud, cultural considerations such as silo working resulting in loss of corporate memory/knowledge with less effective outcomes and/or a misalignment with corporate priorities. Positive opportunities associated with hybrid and flexible working include supporting the retention</p>

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

and recruitment of staff in a highly competitive labour market, greater work-life balance for employees with reduced travel time and consequently a more positive impact on the environment over time (lowering carbon emissions) where road traffic is reduced.

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
<p><u>Performance Management</u> – Continuous performance management (CPM) system includes regular 1-1's with line Managers as well as more formal quarterly performance clinics. Central recording system to summarise discussions with reference to key output areas, effectiveness of outcomes, targets, training and development and any wellbeing matters. Enables HR to keep an oversight track of CPM implementation.</p> <p>Corporate performance management top-down approach incorporates the overarching Corporate Plan priorities and objectives, service plans with kpi's and personal targets. These processes should be closely aligned in supporting delivery of the Council's priorities, objectives, and long-term vision.</p> <p>Benchmarking of some KPI'S across Surrey is in place to ascertain performance levels.</p> <p>With communication platforms like MS Teams and supported systems and technology, staff are fully equipped to work in the office and remotely. Automated internal control processes are important to support modern working practices.</p> <p>Group Head of Commissioning and Transformation issued a Briefing Paper to the March 2023 Audit Committee setting out some of the ways in which this change initiative - Hybrid working is managed at Spelthorne (Hybrid working policy of minimum 2 days required in the office to maintain working relationships, performance management, extent of application dependent on business needs/frontline, individual officer requests etc.) and reinforcing</p>	<p>Reports can be produced to monitor remote activity across the workforce if required.</p> <p>Implementing adequate mechanisms for performance management, monitoring productivity and following through on performance issues are the responsibility of managers across services/teams. Corporate policies to support.</p> <p>Regardless of where services are delivered from (remote vs office), the focus should be on the efficiency and effectiveness of outputs and outcomes in delivering Council services and priorities, ensuring these are provided in a way that supports Council values (PROVIDE).</p> <p>Corporate establishment Review underway incorporates aspects of service delivery and hybrid models of working.</p> <p>In measuring and monitoring the effectiveness of Hybrid Working some considerations include kpi's monitoring, general performance management and complaints monitoring:</p> <p>GH Commissioning and Transformation reported no adverse impact of kpi's performance (for corporate kpi's reported) as a result of hybrid.</p> <p>KPIs are reviewed annually to ensure they are relevant to service delivery.</p> <p>Complaints process to measure any dissatisfaction of customer/public experience, however this mechanism alone may be limited as if there were any increased level of complaints this could also indicate a general societal trend of becoming more comfortable to formally report concerns.</p>

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

some of the wider benefits that have made this working approach a necessity in the modern world post-pandemic).	
<u>Capacity management</u> – Management to address workload issues across teams, with continued prioritisation of tasks	Staff can access welfare information on the Intranet. Support is available for mental and emotional wellbeing including mental health first aiders and Care First. This scheme has been promoted through regular staff communications.
Responsibility to remain alert to stress related risks of demanding workload.	Monitoring of sickness absence provides a corporate view of stress issues. LGA Peer review presentation/recommendations included references to working culture/workload pressures/organizational style.
The need to treat colleagues respectfully has been recognized and communicated.	Addressed in the LGA Peer review in relation to Councillors and staff.
Corporate values under the acronym 'PROVIDE' form part of the Corporate Plan. Over time it is the intention for the Council's values to become further embedded into behaviours, policy, and processes (including recruitment).	
Annual staff and Member survey commissioned in 2022 designed to ascertain employee and member views on several themes including workplace culture, values, recruitment and retention. Key matters arising from these surveys including organizational behaviours have been highlighted and communicated further as part of the LGA Corporate Peer review.	
Growth bids for additional resourcing form part of annual budget process (moratorium restrictions remain likely going forward).	No net increase in FTE's approved as part of the 2023-24 Budget approved by February Council. Only existing posts to be filled as likely moratorium on new FTE posts will remain.
<p><u>Several recruitment and retention measures</u> have been underway for some time with examples below and developments in some areas:</p> <ul style="list-style-type: none"> i) Recruitment and Retention Policy and Market Supplement Scheme to offer financial enhancements for hard to fill posts which are agreed by MAT. ii) An apprenticeship training programme to upskill existing staff and offer development opportunities to new hirers. As part of the Finance restructure, two apprentice posts have been created. Apprenticeships continue to be encouraged and there may be possibilities for new apprenticeships in customer services. 	<p>February Council approved pay uplift for 2023-24 – a fixed £1,925 per FTE equivalent to an average increase of 3.5%.</p> <p>Corporate Establishment Review underway.</p>

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<ul style="list-style-type: none"> iii) An Employee Assistance Programme scheme and Mental First Aider scheme to assist with staff wellbeing. Positive feedback received from staff using these services. iv) Implementation of hybrid working in response to staff feedback and ensuring that staff are fully equipped to work from home. This working pattern continues to be well received and assists with retaining and recruiting staff - important in a competitive market as something to offer potential applicants. v) Flexi time working arrangements. vi) An exit interview scheme routinely offered / undertaken that encourages leavers to engage, providing an opportunity for SBC to learn, improve and apply where appropriate for the future. vii) £1,925 fixed sum agreed across all grades for 2023-24 – proportionally worth more for lower paid staff viii) Members of South East Employers newly formed Reward and Recognition Network to share best practice and to learn from any initiatives taking place elsewhere (this is a work in progress). This highlights that all local authorities are experiencing recruitment issues. ix) Market supplements policy reviewed and refreshed x) Collaborative working and Partnerships being explored with a view to enhancing organisational and service resilience, promoting career opportunities and staff retention measures. It is important to be mindful that staff may fear for their roles/job security, so this is also a contributory factor leading to skilled staff leaving the Council. Reassurance for staff will be provided where appropriate. <p>To ensure these policies related to recruitment and retention continue to be fit for purpose they have recently been reviewed.</p>	
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Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks.

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

What is the additional risk score after considering further mitigation measures set out in the Risk Action Plan? (Once these are fully implemented) (At June 2023)	Direction of Travel (Either) after considering further mitigation set out in the Risk Action Plan? - Maintained risk score and RAG (Red/Amber or Green) - Reduced risk score with no change to RAG status - Reduced risk score and RAG status
9	Reduced score and RAG status (to Amber)

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

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

Previous RAG Status (March 2023)	Current RAG Status (June 2023)	Previous Risk Score (March 2023)	Current Risk Score (June 2023)
		9	9

Risk Descriptions
<p>(i) If there is a failure to effectively adhere to the Equality Act (2010), this could lead to workplace practices and delivery of services that fail to incorporate necessary principles, standards and requirements in promoting equal opportunities, diversity and inclusivity. This may increase risks of discriminatory practices and consequentially, the Council could be subject to complaints or even claims resulting in reputational damage.</p> <p>(ii) If there is insufficient resource, skills or expertise to develop, promote and support implementation of E, D & I standards, progress in driving change and positive impact through a structured approach may be limited.</p>

*Current Control Actions (See Key. These are specific actions to reduce the <u>likelihood</u> of a risk event or occurrence)	**Current Mitigating Actions (See Key. These are specific actions to reduce the <u>impact</u> of a risk event should it occur).
<p>Training mechanisms to raise awareness and understanding such as the online Workrite module.</p> <p>Some examples of how the Council demonstrates its commitment to E, D & I principles include:</p> <p>(i) Recognising and celebrating diversity through communications and engagement amongst staff and local communities such as Black History Month, GBLT Pride month of June, religious festivals.</p> <p>(ii) Champions (Staff reps) to explore further positive approaches relating to E, D & I. Inclusivity Working Group meets regularly.</p>	<p>Equality Impact Assessments are completed as a requirement on initiation of new projects and strategies.</p>

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

<p>(iii) Corporate Values – (PROVIDE) are incorporated into the Council's equality and diversity objectives together with an internal equality and diversity policy.</p> <p>(iv) An Equality, Diversity and Inclusivity 'Statement of Intent' document has been reported.</p> <p>(v) Internal and external websites have been updated with Equality and Diversity policy and statement published.</p>	
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Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks.

<p>What is the additional /indicative risk score after considering further mitigation measures set out in the Risk Action Plan? (Once these are fully implemented) (At June 2023)</p>	<p>Direction of Travel After Considering further mitigation set out in the Risk Action Plan? (Either)</p> <ul style="list-style-type: none"> - Maintained risk score and RAG - Reduced risk score with no change to RAG status - Reduced risk score and RAG status
<p>6</p>	<p>Reduced risk score with no change to RAG status (Amber)</p>

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Risk Category 9 – Working arrangements across local government tiers

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

Previous RAG Status (March 2023)	Current RAG Status (June 2023)	Previous Risk Score (March 2023)	Current Risk Score (June 2023)
		9	9

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

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

APPENDIX A Corporate Risk Register - Spelthorne Borough Council

Strategic boards such as Surrey Delivery Board established in making broader decisions	
Liaison at senior executive level across tiers to discuss future management of high levels and changing complexity of referrals/ caseload.	

Please now refer to the Risk Action Plan at Appendix B. This sets out how the authority is working towards further addressing and mitigating the risks (there are no specific actions raised for this risk category).

What is the additional/indicative risk score after considering further mitigation measures set out in the Risk Action Plan? (Once fully implemented) (At June 2023)	Direction of Travel After Considering further mitigation set out in the Risk Action Plan? (Either) - Maintained risk score and RAG status - Reduced score with no change to RAG status - Reduced score and RAG status
9	Maintained risk score and RAG status