

**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<br><br>DATE ACTIONS REVIEWED & WHOM BY                                                                                                                                                  | TIMELINE FOR DELIVERY (INCLUDES ALL REVISED TARGET DATES)                | STATUS (IMPLEMENTED / IN PROGRESS OR OUTSTANDING) (REPORTED STATUS AT OCTOBER 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)<br><br><i>Action reviewed by Group Head Place, Protection and Prosperity 07.10.21, 09.02.22, 24.06.22, 27.10.22, 20.02.23,31.5.23,13.6.23,20.10.23</i> | (i) March 2022<br>(ii) Revised – June 2023<br>(iii) Revised January 2024 | <b>IN PROGRESS</b><br>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 |

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|  |  |  |  |  | <p>the Local Plan, and after the three month pause the Council will decide what actions may be necessary before the Local Plan examination may proceed”.</p> <p>A further pausing of the Local Plan is likely to take place up to early 2024 to allow time for National Planning Policy Framework (NPPF) and for the implications to be evaluated.</p> <p>This will impact/delay adoption of New Local Plan.</p> |
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| 1a. HOUSING – Development & Targets | 1a (ii) Identification and rigorous assessment of alternative Development Delivery Options for Council Owned Development Sites, to ensure they represent financially viable and sustainable solutions in delivering development targets. | October 2023 | Chief Finance Officer, Group Head for Assets, Chief Accountant                                                                                                                 | (i) To be advised                                                                                                                                                                                            | <b>NEW ACTION ADDED OCTOBER 2023</b>                                                                                                                                                                               |
| 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)<br><br><i>Action reviewed by Housing Strategy Manager on 3.10.2021,28.1.22,28.6.22, February 2023, 24.5.23, 13.11.23,12.10.23</i> | (i)October 2021<br>(ii) Revised March 2022<br>(iii) Revised July 2022 (iv) Revised October 2022<br>(v)Revised January 2023<br>(vi)Revised May 2023 (vii)Revised October 2023<br>(viii) Revised December 2023 | <b>IN PROGRESS</b><br>Targeted bulk data matching exercise has commenced. First results of the matching exercise received and a risk based approach is being used to prioritise next stages of the investigations. |
| 1b HOUSING _ Affordable             | 26 Afghan families living in the Staines Bridging hotel were served eviction notices                                                                                                                                                     | June 2023    | Group Head Community Well Being<br>Group Head Assets<br>Deputy Chief Executive (CFO)                                                                                           | (i)August 2023<br>(ii)January 2024                                                                                                                                                                           | <b>IN PROGRESS</b><br>A report is going to Development-Sub Committee on 6                                                                                                                                          |

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|                                               | to vacate the premises in summer 2023. This consequently presented the risk of substantial numbers presenting as homeless to the Council. Acquisition of properties to support refugees forms an important strategy that the Council is pursuing. |            | <i>Action reviewed by Deputy Chief Executive (CFO) on 22.10.23</i>                                           |                                                                            | November requesting approval to complete proposed acquisitions to support refugees. This will be partly funded from the LAHF grant rounds 1 & 2.<br><br>A number of Afghan refugee families have already moved into LAHF properties and others are due to move in the coming weeks and months. |
| 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<br><br><i>Action to be reviewed by Group Head Assets (proposed updates already added )</i> | (i). July 2023<br>(ii) Revised October 2023<br>(iii) Revised December 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                                                                                                                                                      |

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|                                               |                                                                                                 |           |                                                                                                                           |                                                                                                 | Corporate Policy & Resources Committee in Autumn 2023. A progress report regarding the overarching strategy and core elements was verbally presented to Development Sub-Committee on 2 <sup>nd</sup> October 2023. |
| 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<br><br><i>Action reviewed by Chief Accountant 22.10.23</i> | (i) July 2023 – plan approved<br>(ii) Target date for full implementation of plan to be advised | <b>IN PROGRESS -</b> Action Plan reported to Development Sub-Committee on 3 <sup>rd</sup> July and Audit Committee on 27 <sup>th</sup> July for approval by Councillors. Plan was approved                         |
| 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                                                                                  | (i) December 2023                                                                               | <b>IN PROGRESS</b> As previously agreed with CPRC and as part of PIR Action Plan, 50-year refresh                                                                                                                  |

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|                                                                                                                                                                                |                                                                                                                                                                                                                                                                                           |                   |                                                                                                                                                                  |                                                                         | of the modelling will be undertaken by autumn and will feed into 2024-25 Outline Budget process.                                                                                                                                                                                                                                                                                                                |
| <p>3i. FINANCIAL RESILIENCE AND COMMERCIAL ASSETS</p> <p>4. FINANCIAL RESILIENCE AND COMMUNITIES</p> <p>This action covers two risk categories on the register (3 &amp; 4)</p> | <p>3iv &amp; 4i. 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 access in the future which could in turn impact financial resilience.</p> | <p>March 2023</p> | <p>Group Head Assets / Deputy Chief Executive/ Chief Finance Officer</p> <p><i>Action reviewed by Deputy Chief Executive/ Chief Finance Officer 22.10.23</i></p> | <p>(i)TBC once received recommendations from CIPFA and DLUHC review</p> | <p><b>IN PROGRESS .</b></p> <p>Linked to emerging Asset Management Strategy referred to at 3i.</p> <p>As part of capital risk mitigation, Council decision at CPRC of 11 September 2023 to suspend direct delivery of the Housing development programme with immediate effect. Finance and Assets continue to explore alternative approaches as to how schemes could be delivered (joint ventures, sales of</p> |

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|                                        |                                                                                                         |            |                                                                                                                                                 |        | individual residential units etc). A report on mitigation of Holding Costs and Development Delivery Options for Council Owned Development Sites in supporting affordable Housing Provision has been reported to CPRC 16.10.2023.                                                                  |
| 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<br><br><i>Reviewed by Deputy Chief Executive (Chief Finance Officer)22.10.23</i> | (i)TBC | <b>IN PROGRESS</b><br>Service Planning cycle for 2024/25 completed. Growth bid submissions being rigorously considered by Management Team. Management Team, Group Heads and Finance are seeking out additional savings in order to be able to present to councillors a set of options to enable a |

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|                                    |                                                                                                                                                                     |              |                                                                                                                       |                                                                         | balanced budget to be achieved.<br>The Council's Reserves strategy has been updated and going to CPRC January 2024                                                                                                                                       |
| 5.TREASURY MANAGEMENT              | 5ii. Treasury Management training (Member briefing) provided for all Councillors in September 2022 and further training is planned to be delivered by January 2024. | October 2023 | Chief Accountant                                                                                                      | (i)January 2024                                                         | <b>NEW ACTION</b><br><br>Arlingclose to provide training session for councillors                                                                                                                                                                         |
| 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, 1.6.23,25.10.23 | (i)September 2022<br>(ii) Revised June 2023 (iii) Revised December 2023 | <b>IN PROGRESS</b><br>Training delivered to initial group of staff September 2022 and continues to be rolled out in 2023 to all staff. As of May 2023, 55 staff have undertaken the training with positive feedback.<br>As part of the induction process |



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|                                                             |                                                                                                                                                                                                                         |            |                                                                                                                                                                                                  |                   | Councillors have been 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)<br><br><i>Action reviewed by Group Head Commissioning &amp; Transformation 10.2.22/26.10.22 /February 2023, 1.6.23,25.10.23</i> | Continuous action | <b>ONGOING</b><br>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 completed in July 2023 and noted by CPRC. Followed by a contractor's usage report to CPRC in October 2023. |

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| 7.CORPORATE CAPACITY, RESOURCES, RECRUITMENT AND RETENTION | 7ii. The continuation of excessive workload pressures generated by strategic political steers (including 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). | February 2022 | Management Team<br><br><i>Group Head Commissioning &amp; Transformation (Sandy Muirhead) reviewed action in February 2023 and 1.6.23, 25.10.23</i>                         | Continuous action                                                                               | <b>ONGOING &amp; IN PROGRESS</b><br><br>CPRC agreed for an Establishment Review of the Council to be undertaken. This has been completed in July 2023. Recommendations of the LGA Corporate Peer Review need to be addressed. Report on action plan to Corporate Policy and Resources Committee and follow up peer review visit November 2023. |
| 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<br><br><i>Action reviewed by Group Head Commissioning &amp; Transformation (Sandy Muirhead)</i> | (i)June 2022<br>(ii)Revised October 2022<br>(iii)Revised February 2023<br>(iv)Revised July 2023 | <b>IN PROGRESS</b><br>Collaborative working with professional groups such as Southeast Employers to explore options and                                                                                                                                                                                                                        |

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|                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |              | 24.6.22/26.10.22/February 2023 and 1.6.23, 22.10.23.                                              | (v)Revised September 2023<br>(vi)Revised January 2024 | strategies. This is a 'work in progress.'                                                                                                                                                                                                                                                                                                                       |
| 7.CORPORATE CAPACITY, RESOURCES, RECRUITMENT AND RETENTION | 7. iv. In the wider context of a 'Recruitment and Retention crisis in the public sector', the Council continues to draw insight from HR professionals who keep abreast of best practice across Surrey and wider networks . There are several review mechanisms or hubs of expertise that have been referred to in this Risk Action Plan (Southeast Employers, Corporate Establishment Review, LGA Corporate Peer review). It is important that optimal value continues to be drawn from all relevant hubs of expertise including | OCTOBER 2023 | Management Team<br><br>Group Head Commissioning & Transformation (Sandy Muirhead) and HR Managers |                                                       | <b>NEW ACTION PROPOSED OCTOBER 2023</b><br><br>HR staff liaise with HR colleagues across Surrey and attend relevant meetings to ensure they are up to date on best practice and can meet the challenges of retaining staff in a difficult market. The level of influence that can be exerted to increasing salary levels , an important factor, may be limited. |

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|                                                            | externally conducted research in continuing to facilitate and promote a holistic approach to responding to recruitment and retention challenges and future-proofing the Council's workforce.                                                                                                                                                                                   |              |                                                                                    |                             |                                                                                                                                |
| 7.CORPORATE CAPACITY, RESOURCES, RECRUITMENT AND RETENTION | 7v. Council's values (PROVIDE) to become further embedded into behaviours, policy, and processes such as recruitment.<br><i>(Research indicates that some individuals are more likely to be attracted to joining/remaining with an employer if they can relate to the values being conveyed as providing a sense of purpose in terms of what the organisation stands for).</i> | October 2023 | Management Team/All Group Heads/<br>Lead Group Head Commissioning & Transformation | Longer term - to be advised | <b>NEW ACTION PROPOSED OCTOBER 2023</b><br><br>Values will be embedded and communicated to staff as part of the corporate plan |

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| 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.<br><br><i>Action reviewed by Group Head Commissioning &amp; Transformation (Sandy Muirhead) - February 2023 1.6.23 and 20.10.23</i> | (i) March 2023<br>(ii) July 2023<br>(iii) October 2023 | <b>IN PROGRESS</b><br>Statement of Intent and equality objectives produced as a first step, and internal and external website updated.<br><br>Progression is dependent upon establishing resources to take forward. |
| 9.Working Arrangements across Local Government Tiers | 9i. Planning for potential change and ascertaining transitional and future arrangements for service delivery, decision making and strategic direction.                                                                                                                         | <b>OCTOBER 2023</b> | Management Team<br><br>Group Head Place and Prosperity                                                                                                                                                                                                                              | (i) April 2024                                         | <b>NEW ACTION PROPOSED OCTOBER 2023</b>                                                                                                                                                                             |

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

| RISK CATEGORY REFERENCE (AS IN THE CRR) | ACTIONS (SMART)                                                                                                                                                                    | DATE ACTIONS ADDED | LEAD OFFICER<br><br>DATE ACTIONS REVIEWED & WHOM BY                                                                                       | TIMELINE FOR DELIVERY (INCLUDES ALL REVISED TARGET DATES)                                    | STATUS (COMPLETED) (REPORTED STATUS AT OCTOBER 2023)                                                                                                      |
|-----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|-------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------|
| 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 | March 2021         | Lead Officer - Group Head Commissioning & Transformation (Sandy Muirhead)<br><br><i>Action reviewed by Group Head Commissioning &amp;</i> | (i)June 2021<br>(ii)Revised October 2022<br>(iii)Revised March 2023<br>(iv)Revised June 2023 | <b>COMPLETED.</b><br>On 13 June 2023, the Group Head Commissioning & Transformation presented a report to MAT on the allocations of the Green Initiatives |

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|                     | salary of climate change officer post.                                                                                                                                 |              | <i>Transformation 10.2.22, 26.10.22, 27.2.23, 1.6.23</i>                                                                                   |                                             | Fund of £747k that included bids for Hubbub comms package, electric mopeds, and solar panels. In addition, a portion of the Shared Prosperity Fund will be allocated to Climate Change Business audits. |
| 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<br><i>Action reviewed by Deputy Chief Executive (CFO) in February 2023, 2.6.23, 22.10.23</i> | (i) December 2022<br>(ii) Revised June 2023 | <b>COMPLETED.</b> This exercise is completed and continues to coincide with the relevant period / financial year. The status will therefore remain as ongoing.                                          |