



Corporate Performance Report

Date: September 2023

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1. Summary

Actions

Annual Plan Actions

Objectives with more than one action have been aggregated using the least favourable RAG status

2	Completed
11	On track
5	Slippage
4	Off track

AGS Actions

To be reported at the next quarterly update

N/A	Completed
N/A	On track
N/A	Slippage
N/A	Off track

Measures

KPIs

11	On target
2	Slippage
2	Off target

x2 information only
x1 awaiting data

Risks

Corporate Risks

4	High
6	Medium
0	Low

Committee Risks

4	High
13	Medium
0	Low

Guidance

Actions/KPIs: **Red:** Off track/target (>5%) **Amber:** Behind target (< 5%) / delayed **Green:** On track/target **Blue:** Completed
Risks: **High:** Risk score of 12-16 **Medium:** Risk Score of 4-9 **Low:** Risk score of 1-3

2. Annual Plan Progress (April 2023 – March 2024)

Each year we prepare an Annual Plan, which contains objectives and actions that will deliver on the themes outlined in our [Four Year Plan](#).

No	Ctte	Key Deliverables	Target	Responsible Officer	Dates / Key Milestones	RAG Status	Narrative
1	S&R	Post election (May 23) review financial framework (including all panels and working groups) with Members to ensure underlying assumptions and governance processes are still valid and that the structure enables clear decision making.	Approved by Strategy and Resources Committee	S151 Officer	30 September 2023	Blue	Completed: At its meeting on 25 July 2023, the Full Council approved the recommendations by the Standards and Constitution Committee.
2	S&R	A costed and funded ICT Strategy, with associated delivery timeline	Approved by Strategy and Resources Committee	Head of Information Technology	30 September 2023	Green	The IT strategy is being reviewed and it is on track to be submitted to the Strategy and Resources Committee on 19 September 2023.
3	S&R	Development of a costed plan around a potential Town Hall move to 70 East Street for further consideration by Members, as agreed at Strategy and Resources committee.	Programme plan completed and agreed at S&R then put to Council for approval.	Acting Director of Environment, Housing and Regeneration	30 November 2023	Green	Moveworks has been appointed to undertake high level feasibility study regarding the business case to relocate.
4	S&R	Development of full options proposals around the development/disposal of current Town Hall site if Item 3 is approved for progression.	Programme plan completed and agreed at S&R then put to Council for approval.	Acting Director of Environment, Housing and Regeneration / Head of Property and Regeneration	30 November 2023	Green	A procurement brief has been developed and it is now live on the 'Home England' professional framework to tender external project team for site feasibility study as well as an external development consultant for delivery options.

5	S&R	a) Identification of business startup premises through TC masterplan, Local Plan and Economic Development work. Refresh previous Econ Dev Strategy. ** To be further defined following agreement of where Economic Development activity sits	a) Proposals for locations considered in the LP/MP work New Economic Development Strategy produced and agreed	Head of Place Development	31 March 2024	Amber	a) Local Plan consultation has resulted in detailed responses from site promoters. Finalisation of the TC Masterplan will assist in identifying suitable locations. Delays to Local Plan could impact delivery of start-up premises, specifically those that could come forward as part of site allocations.
		b) Hold Pop-Up shops / displays in Bourne Hall	b) 4 Pop-Ups, 1 per quarter.	Head of Operational Services		Green	b) Various events are in place for Bourne Hall. Three 'Cash in the wardrobe' events and an Art and Design Market were held between April and June 2023. Museum staff are working with the Arts, Culture and Heritage Programme Officer on more events and displays.
6	S&R	Clarify committee ownership of the Economic Development activity and identify resource requirements and funding to progress further. If agreed, develop a costed and resourced Economic Development Strategy.	Group established and approved by committee.	Head of Place Development	30 September 2023	Amber	Confirmed that Economic Development sits under Strategy & Resources. Resourcing of Economic Development Activity to be reviewed through the budget setting process.
7	LPP	a) Regulation 18 and Regulation 19 on the Local Plan consultation.	Consultation commenced. Evidence of ongoing engagement	Head of Place Development	31 March 2024	Red	a) Consultation on the Regulation 18 Draft Local Plan has been undertaken. There are resources implications for conducting the Regulation 19. Council motion to 'Pause' has implications for timetable. Future Licensing and Planning Policy Committee (LPPC) to consider unpausing the Plan in September / October 2023. A new Local Plan timetable will be prepared following a decision to un-pause.
		b) Continued close working with Business Improvement				Red	b) Resource implications – there is currently no economic development resource

		District Partners and other key stakeholders and partners. c) Introduction of a Community Infrastructure Levy (CIL) Protocol.				Green	c) A draft spending protocol is due to be considered by the LPPC in October 2023.
8	LPP	Draft Infrastructure Delivery Plan (linked to the Local Plan), which includes telecommunications infrastructure. Develop clear definition of what 'digital connectivity' means in the context of Council Strategy and deliverables and agree delivery plan.	Draft Infrastructure Delivery Plan published alongside the Local Plan consultation.	Head of Place Development	31 March 2024	Red	Council motion to 'Pause' has implications for timetable. Future LPPC to consider unpausing the Plan in September / October 2023. A new Local Plan timetable will be prepared following a decision to un-pause.
9	LPP	Produce a business case for additional resource to enable a Tree Preservation Order Review.	Business case taken to committee by completion date.	Head of Place Development	30 September 2023	Red	Focussing work on Ash Dieback and the backlog of tree-related applications have delayed the business case. The business case will be prepared towards the end of 2023.
10	LPP	Produce a business case for additional resource to enable a TRN Review and formulation of new process.	Business case taken to committee by completion date.	Head of Place Development	01 October 2023	Red	Focussing work on Ash Dieback and the backlog of tree-related applications have delayed the business case. The business case will be prepared towards the end of 2023.
11	LPP	A local Heritage List (to link to/inform Item 13).	Approved by committee.	Head of Place Development	30 September 2023	Amber	There has been a delay in receiving all the necessary information from Surrey County Council before reporting to the LPPC on 15 June 2023. LPPC made a decision to pause with progressing the Local Heritage List in parallel to the Local Plan in order to prioritise workload as well as assessing implications.
12	C&W	Increased surplus from Bourne Hall	<ul style="list-style-type: none"> Flying Saucer Cafe launched. 	Head of Operational Services	31 December 2023	Green	In May 2023, the rear patio of Bourne Hall has been upgraded with seating area and the Flying Saucer Café has been launched to support

			<ul style="list-style-type: none"> Increased retail activity. Completion of charges review. 				income generation of Bourne Hall. There has been an increased retail activity since then. Whilst the business plan has been agreed by SMT, the role profiles are being reviewed by HR which needs to be completed before the next stages of the plan.
13	C&W	A costed and resourced Arts, Cultural and Heritage (ACH) Strategy.	Approved by Community and Wellbeing Committee and stakeholder group.	Head of Place Development	31 October 2023	Green	The draft themes/pillars of the ACH Strategy were approved by the SMT in April 2023. The final Strategy, along with a costed and resourced action plan, will be submitted to the Community and Wellbeing Committee on 10 October 2023 following a stakeholder consultation event held in June 2023.
14	C&W	Delivery of an increased programme of heritage tours and events along with digital information which promote the Borough's heritage assets, allowing residents to see local heritage assets and partake in heritage open days.	Approved by C&W Committee	Head of Place Development	Ongoing throughout 2023-2024	Green	A programme of events is being developed following the confirmation of the UKSPF funding in June/July 2023. A new digital heritage tour app will launch during the National Heritage Open Days festival on 8 September 2023. A programme of art lessons and exhibitions are being confirmed at council venues and will commence in September alongside the painting of a community wall mural with a group of local school children and an internationally renowned street artist.
15	C&W	<p>a) Implementation of the Year 1 actions in the Homelessness and Rough Sleeper Strategy including updating empty homes policy</p> <p>b) Housing stakeholder event(s) to be agreed and arranged with clear outcomes</p>	<p>a) 85% of Year 1 actions complete, with quarterly reports to the committee Chairs.</p> <p>b) Housing event held and network operational</p> <p>c) Consultation completed and any recommendations</p>	Head of Housing and Communities	30 November 2023	<p>Green</p> <p>Green</p>	<p>a) The first quarterly report of 2023/24 has been submitted to the Chair of Community and Wellbeing Committee in August 2023. A six-monthly report and an end of year report will be provided to the Committee.</p> <p>b) A stakeholder analysis has been completed which informs development of potential future events.</p>

		c) Establish a plan for private rented sector inspections and stock condition surveys	from DLUHC considered - member briefing paper produced if appropriate			Amber	c) There are currently limited resources to conduct private rented housing inspection whilst focussing on reactive work.
16	C&W	Prepare a briefing paper on the structure and purpose of options for receiving feedback from the wider community through increased consultations, targeted citizens panels (youth, students, mixed demographics etc) and other mechanisms both digital and non digital - particularly around the seldom heard.	Approach approved by the Strategic Management Team / Policy Chairs	Head of Policy and Corporate Resources / Communications and Engagement Manager	30 September 2023	Blue	Completed: A proposal of community engagement was agreed by the Community and Wellbeing Committee in June 2023. It set out the objectives and engagement options with residents to receive feedback on services and better understand residents' needs.
17	E	Implementation of Priority 1 2023-2024 Climate Change Action Plan actions.	85% of actions complete	Head of Place Development	31 March 2024	Green	Amongst the nine priority actions which have been identified, six of them are on track and three have further actions to meet target.
18	E	a) Implementation of Priority 1 2023-2024 Tree Strategy actions (provided the Strategy is approved in March 2023).	<ul style="list-style-type: none"> 85% of actions complete 100 trees planted 	Head of Place Development	31 March 2024	Green	a) Tree Management Plan was formally approved in June 2023, and the delivery of the Plan is now being progressed.
		b) Progress plans for the implementation of a National Nature Reserve (NNR) - feasibility study				Green	b) A report will be submitted to the LPPC in October seeking its approval of the NNR status for Horton Country Park Local Natural Reserve (LNR), Manor Open Space and Hogsmill LNR. The NNR status of Epsom Common has been approved via the management plan and EEBC Climate Change Action Plan.

19	E	A feasibility report and business case for providing a pet crematorium and memorial garden in the Borough.	Report submitted to committee for consideration.	Head of Operational Services	31 October 2023	Green	Establishing and delivering the new business would have staffing and resourcing implications (maintenance etc), the consultant's feedback is that the business case is not feasible. Therefore further investigatory work is underway, e.g. partnering with privates operator to widen the catchment area.
20	E	To continue to monitor developments in Government Waste Strategy	Briefings provided to ES&C on any forthcoming developments or opportunities	Head of Operational Services	Ongoing throughout 2023-2024	Green	There has been delay in the announcement of the national waste strategy by the government. Its development is being constantly monitored by both Transport & Waste Services Manager and Surrey Environment Partnership. The SMT and the Environment Committee Chair/Vice-chair are being kept up to date. A decision is likely to be made by the government within 2023/24. Until further announcements are made and analysed it is not possible to properly forecast the cost and service impacts of the strategy.
21	C&D	Complete the mobilisation phase of the new CCTV arrangements.	Completed by completion date, including being complaint with ICO regulations	Head of Housing and Communities	31 May 2023	Amber	Whilst the CCTV cameras are now in operation, the deadline of this action is extended to December 2023 to allow negotiations with Business Improvement District (BID) and Ashley Centre so as to conclude this action.
22	C&D	Work with the Community Safety Partnership to create an evidenced-based action plan.	Updated action plan submitted to Audit and Scrutiny Committee by the completion date	Head of Housing and Communities	29 February 2024	Green	Work in progress.

Committee key:

S&R - Strategy and Resources; LPP - Licensing and Planning Policy Committee; C&W - Community and Wellbeing Committee; E – Environment Committee; C&D – Crime and Disorder Committee.

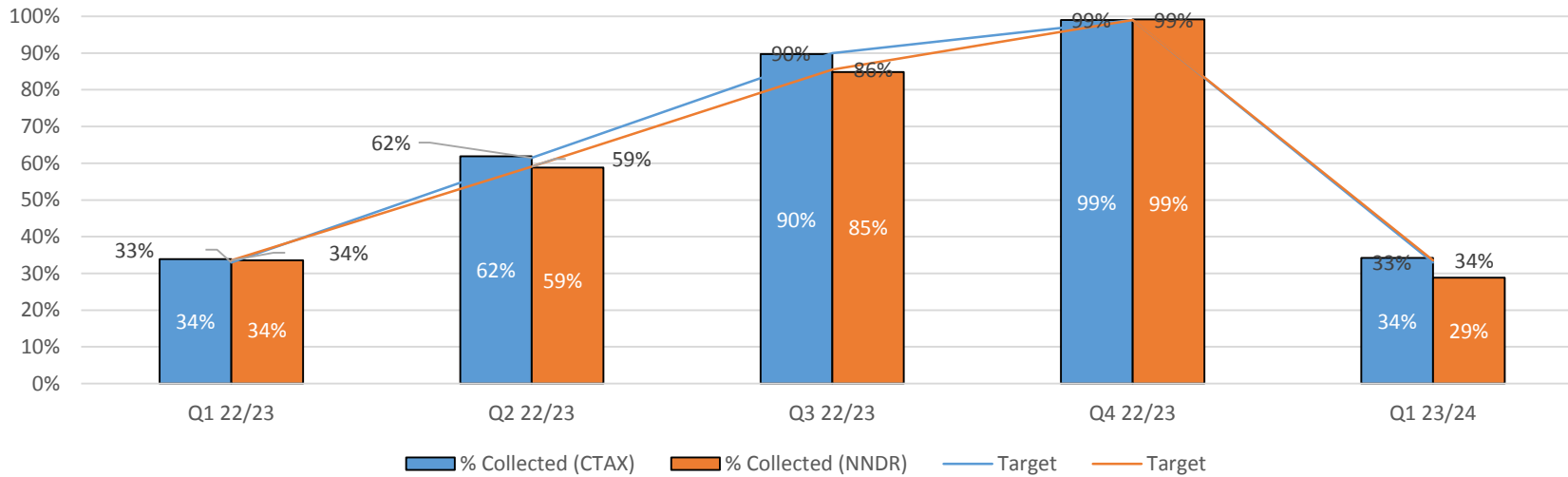
3. Key Performance Indicators

The table below contains a summary of our performance against a set of indicators. Further detail is provided in the individual graphs and commentaries that follow.

Strategy & Resources	Council tax collected		Environment	Car park visitors	
	NNDR collected			PCN appeals responded to	
	Investment income			Waste collection	
	Forecast outturn			Recycling	
	Staff sickness		Licensing & Planning Policy	Major applications determined	
	Staff turnover			Minor applications determined	
	Vacant property rate			Other applications processed	
	Priority reactive maintenance			Appeals dismissed	
Community & Wellbeing	Household living in nightly paid accommodation				
	Homelessness preventions				
Target met Slippage (< 5% behind target) Off track (> 5% behind target) Information only Awaiting data					

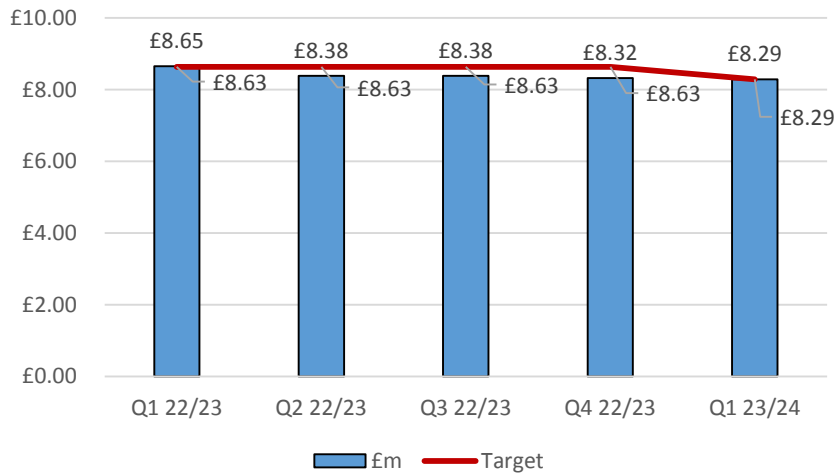
Strategy and Resources Committee

Council Tax and Non Domestic Rates Collected Year to Date (%)

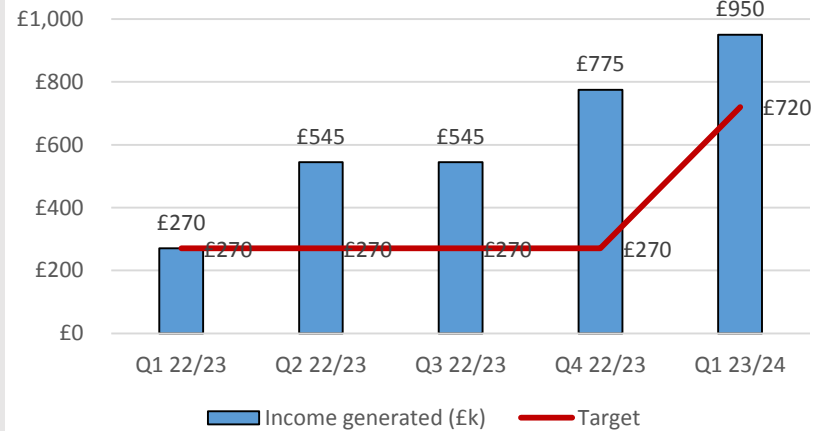


Commentary
Council Tax Collected and NNDR Collected
 The 23/24 NDR Q1 figure is slightly down this year as we have one significant ratepayer who is financially struggling. We have been working closely with them however and this shortfall is expected to be resolved by the end of Q2.

Forecast Outturn vs Budget (£m)



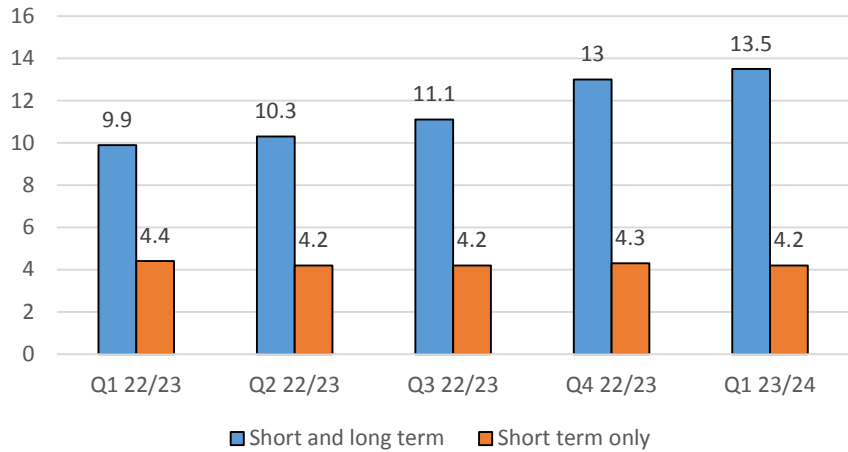
Income from Treasury Management Investment (£k)



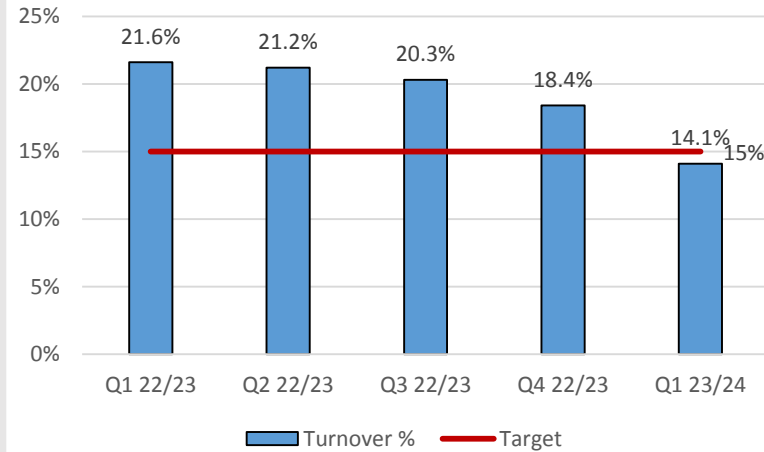
Treasury management investment income
 Forecast income is on track to exceed the target, assisted by elevated interest rates.

Forecast outturn vs budget.
 Currently forecast on budget, pending quarterly budget monitoring report to Audit & Scrutiny Committee in September.

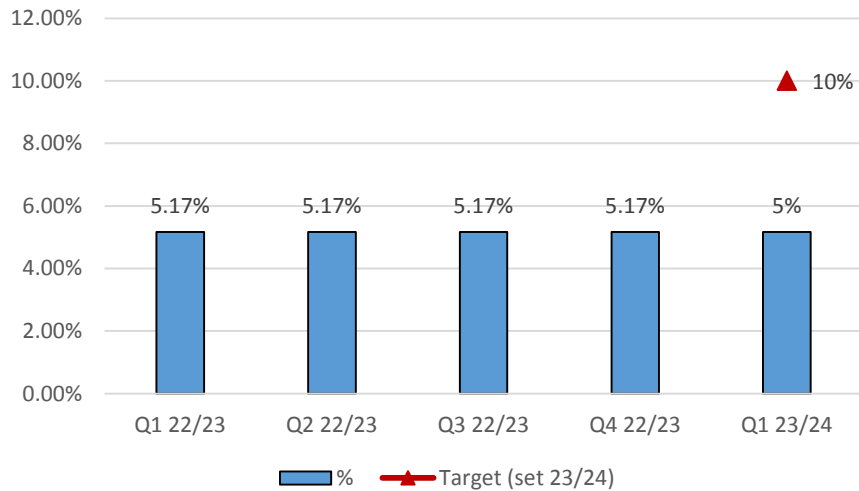
Average Number of Days of Sickness Absence



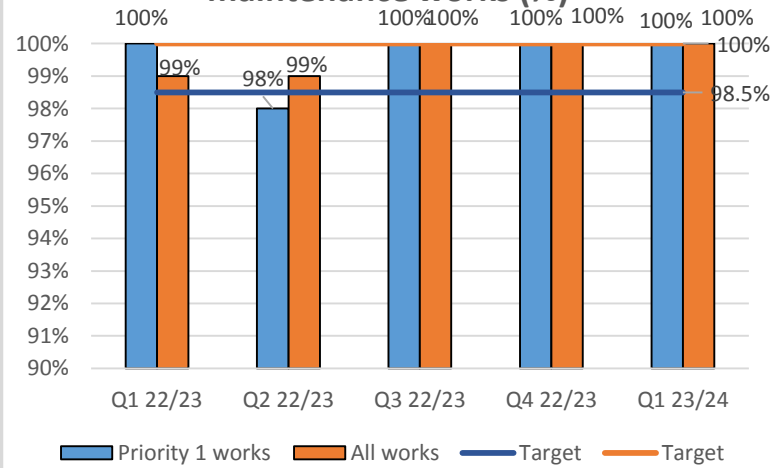
Voluntary Staff Turnover (rolling year to date %)



Council-owned vacant property rate (%)



Completion rates for property maintenance works (%)



Commentary

Days lost to staff sickness.
The increase in the figure for All Sickness is largely due to significant individual cases.

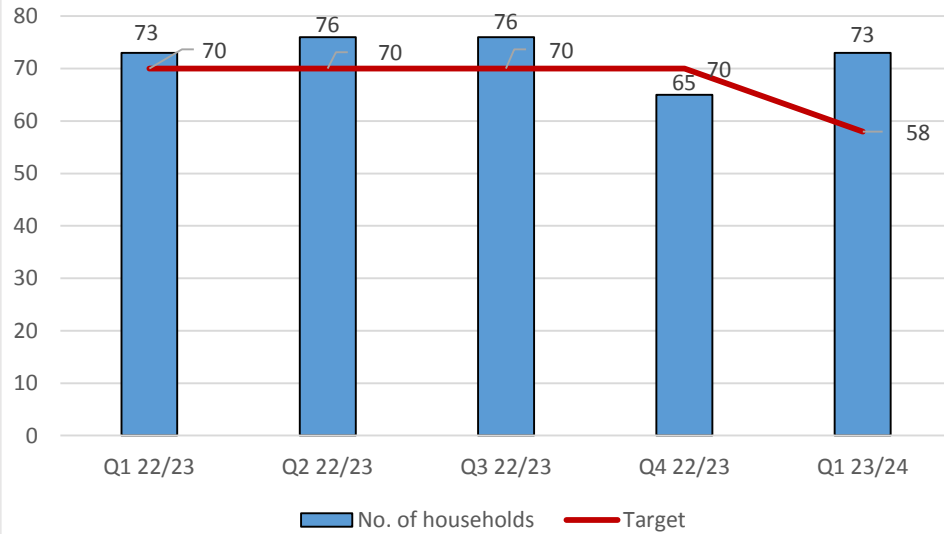
Staff Turnover
Q1 turnover is slightly ahead of our target.

Vacant property rate
Rates remain well ahead of target. The rate is the valuation of the vacant properties divided by the total valuation of council's owned properties and then multiplied by 100 to arrive at this percentage. Valuations reflected last year's value, relating to one vacant property.

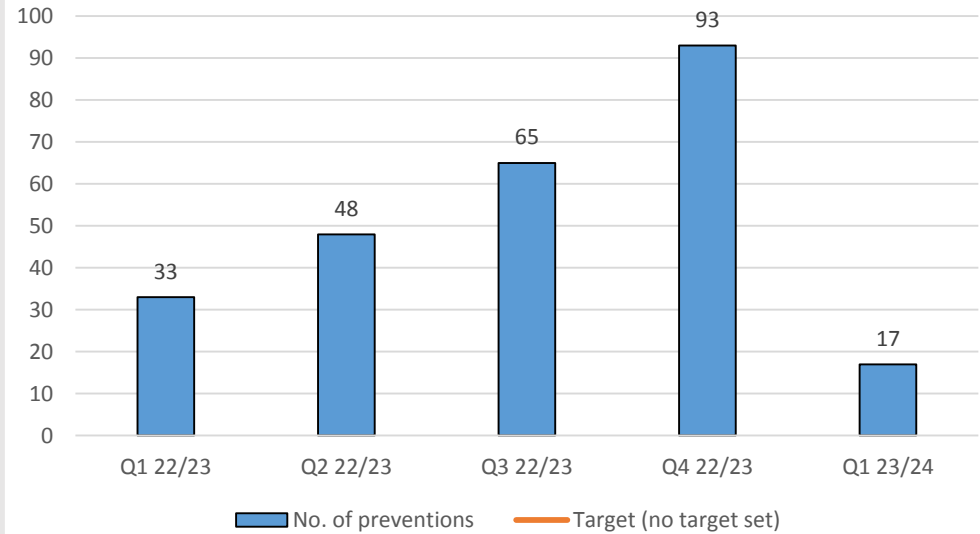
Priority 1 maintenance completion rate
Rates continue to be at 100% above the target of 98.5%.

Community and Wellbeing Committee

Number of households living in nightly paid accommodation



Number of Successful Preventions of Homelessness (Year to Date)



Commentary

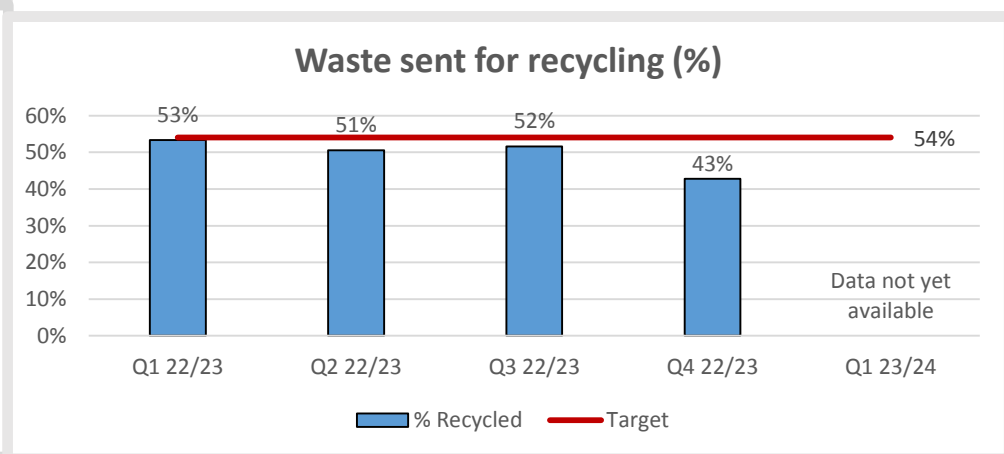
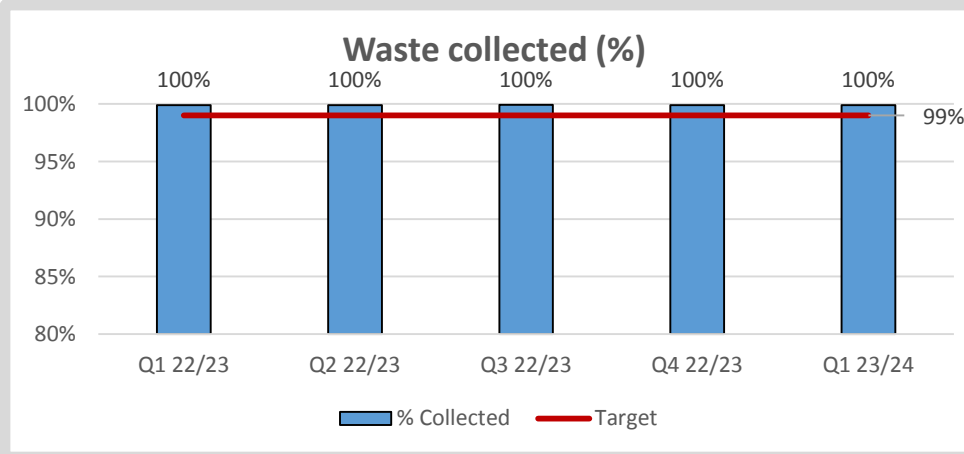
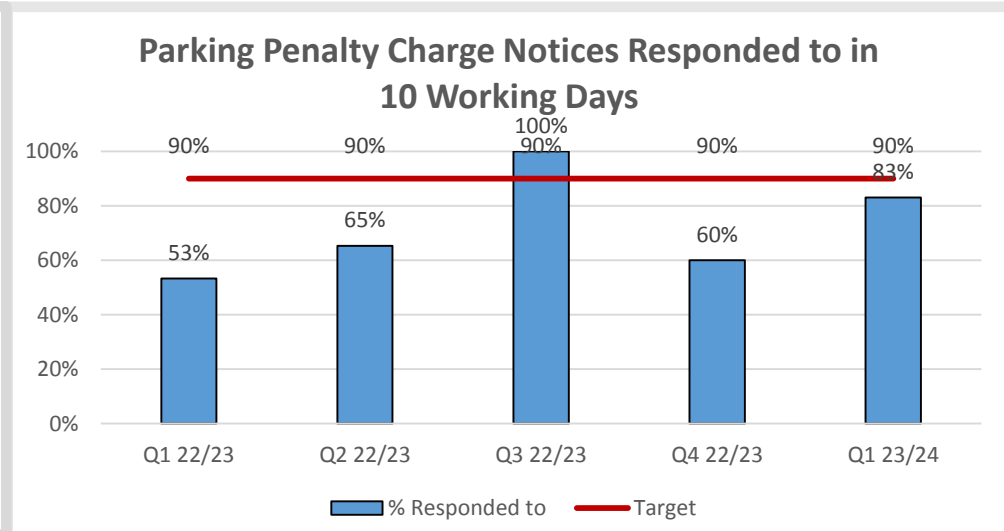
No of households living in nightly paid accommodation

The rise in Q1 on the previous quarter reflects the challenges brought about by the cost-of-living crisis and the lack of new affordable housing schemes coming forward.

Prevention from homelessness

The drop in successful preventions in Q1 reflects the lack of options available as the number of available private rented sector properties drops and rental prices increase.

Environment Committee



Commentary

Car park visitors

The reduction in Town Hall / Hope Lodge visitors is 13,210 which equates for the majority of the slippage from last year. The change of use in Town Hall / Hope Lodge has reduced appearance of some visitor numbers as those entering with permits no longer leave a footprint.

PCN appeals response time.

April was lower due to short staffing, and increased demand with parking renewals/invoicing of yearly agreements. Although just short of the 90% KPI all appeals answered within statutory timeframes.

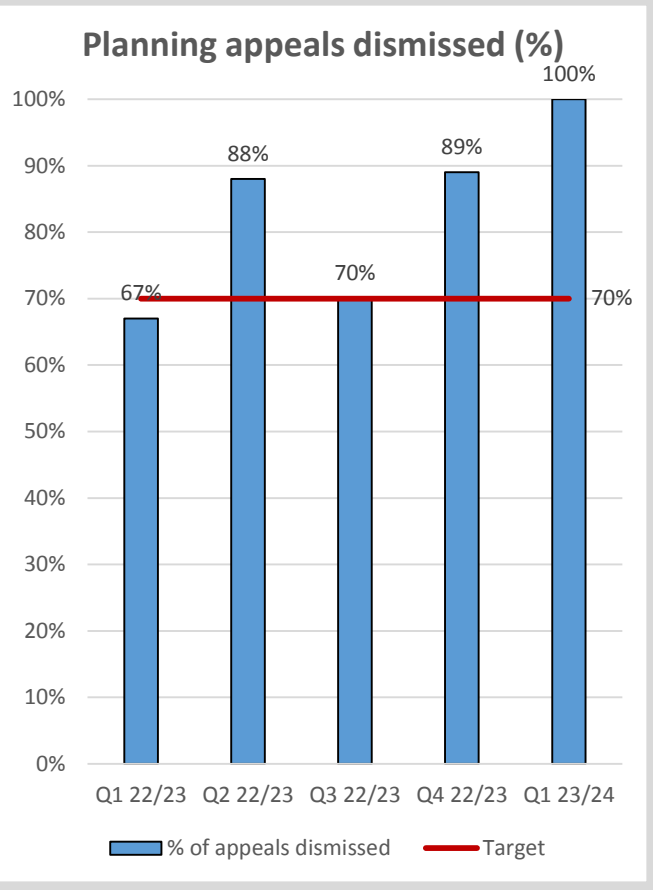
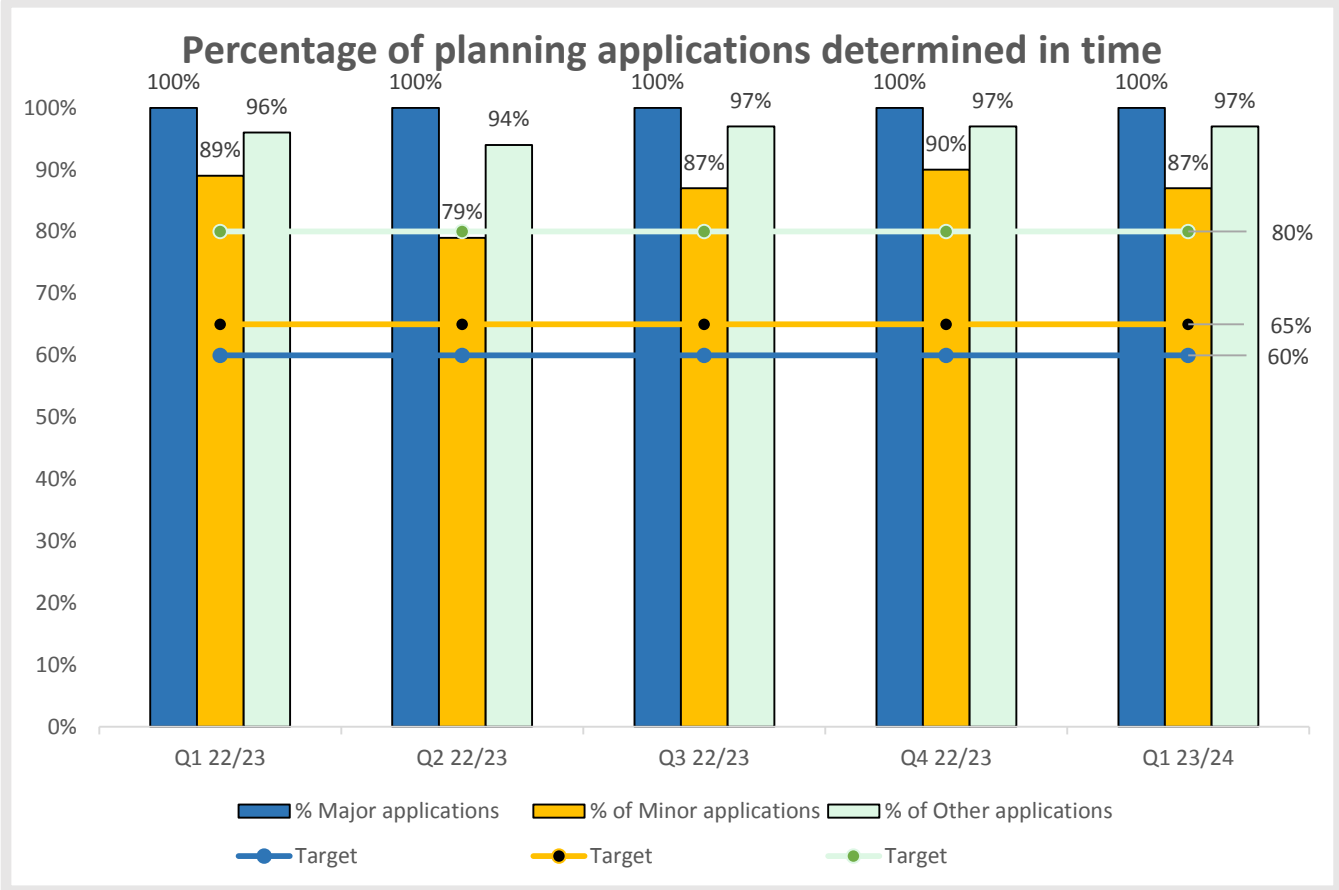
Recycling rate

Q1 data not yet available. Continued slippage in Q4 as sorting plant processing rejection rate rose significantly to 24.13% versus Q1-3 average 12.16%. Concerns have been raised with operators about significant variation in rates, contamination has gone up across all Surrey councils although early indications for Q1 are that EEBC rates have reduced, albeit still high.

Waste collection

Good results in April and May (each 99.92%) but Q1 impacted by reduced performance in June (99.86%) as a result of our garden waste suspensions caused by staffing issues.

Licensing and Planning Policy Committee



Commentary

Major, Minor and Other applications

Performance of Major, Minor and Other applications decided in time has continued to be strong during Q1.

Appeals dismissed.

Q1 performance is ahead of the national average of approximately 70% of appeals being dismissed.

4. Corporate Risk Register

Our corporate risk register contains our most strategic risks, those that may have a significantly detrimental effect on our ability to achieve our key objectives and delivery of core services. We assess our risks as follows:

Step 1: Score the **inherent** risk using the matrix below = the expected **impact** of the risk **multiplied** by the **likelihood** of the risk occurring (with no mitigations or controls).

Step 2: Consider how we mitigate the risk and any controls in place.

Step 3: Score the **residual** risk = impact x likelihood (taking into account the controls and mitigations we have in place).

Step 4: Review final risk score against the **risk tolerance boundary** (yellow line). If High (red), seek to further mitigate the risk to reduce it to Medium (amber) or Low (green); or acknowledge why it cannot be lowered at this time.

Likelihood	4 Very likely	4	8	12	16
	3 Likely	3	6	9	12
	2 Possible	2	4	6	8
	1 Remote	1	2	3	4
	<i>Multiplier</i>	1	2	3	4
		Insignificant	Medium	High	Severe
		Impact			

Red	High risks
Amber	Medium risks
Green	Low risks
Yellow	Risk tolerance boundary

Relevant committee	S&R	Strategy & Resources
	E	Environment
	C&W	Community & Wellbeing
	LPP	Licensing & Planning Policy
	C&D	Crime & Disorder
		Relevant to more than one committee

ID	Category	Risk Identified <i>Risk that...</i> <i>Risk of...</i>	Potential Risk Consequences	Risk Owner	Likelihood	Impact	Inherent Risk	Mitigations & Controls	Likelihood (2)	Impact (2)	Residual Risk	Direction of Travel <i>Compared to previous quarter</i>	Future Actions to Further Mitigate & Control Risk
PD14 <> LPP	Project	Failing to deliver a local plan (e.g. due to budget, staffing, legislative changes)	<ul style="list-style-type: none"> * Unable to provide robust planning policy for development in the Borough. * Impact on other council activities that link to the local plan, e.g. housing. * Unable to demonstrate value for money on investment in developing the plan. * Government intervention. 	Head of Place Development	4	4	16	<ul style="list-style-type: none"> * Local plan project risk register in place. * Regular reporting to key stakeholders. * Project plan funding arrangements. * Resourcing arrangements. 	4	4	16	No change	During Summer 2023 briefing sessions will be held to ensure that Members have a clear and shared understanding of the development of the Local Plan. Local Plan pause a key constraint to the work that can be undertaken.

IT6 <> S&R	Operational	Failure or interruption to IT services	<ul style="list-style-type: none"> *Damage caused by successful cyber-attack. * Loss of data. * Service delays. * Reputational damage. * Staff satisfaction. 	Head of IT	4	4	16	<ul style="list-style-type: none"> * On-going implementation of new IT Strategy. * On-going Business continuity planning. * Maintain effective ICT security procedures and processes. * Security operation centre monitoring systems 24/7. * This is a new risk, composed to consolidate related IT divisional / service risks. 	3	4	12	No change	<ul style="list-style-type: none"> * Approve and implement full IT Strategy. * Robust management of programme to implement strategy inc. regular reviews to track progress and effectiveness.
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HC9 <> C&W	Financial	Risk of homelessness expenditure exceeding budget provision	<ul style="list-style-type: none"> * Unable to meet statutory duties. * Pressure to increase spending on accommodation in locations further outside of Borough. * Need to source funding from outside current budget and knock-on reductions to other budgets. * Potential damage to reputation. 	Head of Housing & Community	3	4	12	<ul style="list-style-type: none"> * Additional posts to support PSL activities, unsuccessful recruitment. * Business process review of housing (yet to be done) * Commissioning Reigate and Banstead Fraud Team to investigate claims * New strategic housing manager in post*Council working group developing mitigation measures *Approved Homelessness and Rough Sleeping Strategy and Action Plan Microhomes proposal *New staff to focus on single homeless and another on homeless households now in post. *Housing First funding for two new units of accommodation *Additional government funding for homeless for 2023-2025 	4	3	12	Worsened	<ul style="list-style-type: none"> * Exploring options to recruit to vacant PSL post * Mid-year report to C&W Committee (10 Oct)

HC5 <> C&W	Governance	Non-compliance with safeguarding legislation, internal policies and best practice.	Negative impact on resident and staff health & safety. * Legal challenge. * Financial penalty. * Reputational damage.	Head of Housing & Community	4	4	16	*Safeguarding Policy in place. * Environmental Health and Community Development teams share resources and knowledge. * Staff training plan developed. * Register of vulnerable residents in place.	3	4	12	New risk escalated to the corporate risk register	* Implement staff training plan. * New communications content to all staff. * Update safeguarding EHub pages. * External audit from adult and children safeguarding teams expected imminently.
PD1 <> E	Strategic	Failure to deliver the climate change strategy	* Unable to deliver the Council's climate change objectives. * Fail to reduce the Council's carbon emissions. * Damage to reputation	Planning Policy Manager	4	4	16	* Climate Change Action Plan. * Environment and sustainability Officer in post. * Capital bids submitted to reduce the council's carbon emissions. * Member Working Group meets quarterly. * Cross-organisational working group also meets frequently to ensure a co-ordinated approach.	3	3	9	No change	* Funding agreed for 2023/24

HR5 <> S&R	Operational	Failing to recruit to vacant positions promptly with quality candidates, and retain existing talent	<ul style="list-style-type: none"> * Increased workload for existing staff. * Delays to delivering corporate and service objectives. 	Head of HR & OD	4	3	12	<ul style="list-style-type: none"> * All vacant positions advertised in multiple platforms. * ICT based recruitment system in place. * Succession planning. * CPD. * Exit interviews. * My performance conversations. 	3	3	9	No change	<ul style="list-style-type: none"> * Steady reduction in voluntary staff turnover during Q3 and 4 through into Q1. * We continue to fill vacancies at a good rate. * Recommendations from Recruitment Audit and Performance management review to be implemented once agreed.
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F2 <> S&R	Financial	Failure to balance the budget annually (inc. mitigating the ongoing financial impacts of Covid-19, energy cost increases, and meeting EPC requirements) & MTFS	<ul style="list-style-type: none"> * Fail to perform statutory duty and issue of Section 114 notice allowing potential Government intervention and potential cuts to services * Reduced assurance over the Council's financial sustainability. * Significant damage to reputation. * Additional budget requirement for energy and EPC mitigation reduces budgets available for service delivery. 	Head of Finance	4	4	16	<ul style="list-style-type: none"> * Budget setting framework agreed by S&R. * Budget reports scheduled on committee forward plan at regular intervals, which includes budget forecasting. * Reserves proactively managed * Savings targets are set to deliver balanced budget. * Quarterly budget monitoring. * Competitive procurement undertaken for utilities (options reviewed in Oct 2022). * Asset reviews underway. * Ongoing programme of improvement to energy efficiency of council buildings (inc. reporting to councillors at committee). 	4	2	8	No change	<ul style="list-style-type: none"> * New MTFS for 24-28 to be produced. * Council to review energy options as Government support is due to be downgraded.
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PCR18 – S&R	Operational	Failure to respond effectively to a major incident or civil emergency	<ul style="list-style-type: none"> * Loss of business continuity. * Health and wellbeing of residents. * Reputational damage. 	Head of Policy & Corporate Resources	4	4	16	<ul style="list-style-type: none"> * Partnered with Applied Resilience to provide specific emergency planning and business continuity resource (inc. response) and advice. * Suite of emergency plans in place, with scheduled testing. * Suite of service business continuity plans in place. * Council responders trained in various response roles. * Emergency call out numbers shared with all relevant officers. * Internal audit of emergency planning recently completed. 	2	3	6	No Change	<ul style="list-style-type: none"> * Business Continuity audit [scheduled in Audit Plan 2023-2024]. * Business continuity tests.
PCR13 <> S&R	Operational	Failure to successfully prevent a significant health and safety incident	<ul style="list-style-type: none"> * Harm to staff, visitors, members of the public and / or contractors. * HSE Prosecution. * Reputational damage. * Unable to maintain service delivery. 	Head of Policy and Corporate Resources	2	4	8	<ul style="list-style-type: none"> * Health & Safety Group, inc. accident reporting. * Health & Safety Officer. * Health and safety risk register. * Annual report to SMT. * Health and safety budget. * Health and safety E-Hub page (new website launched). * Suite of health and safety policies, guidance and forms. * Comms sent out in staff updates. 	1	4	4	No change	<ul style="list-style-type: none"> * Complete Health and Safety Audit (2022) actions [underway]. * Complete this round of assurance checks [underway, running to Aug 23, delayed but in-hand; priority areas have been covered]. * Publish new managers' H&S checklist [underway]. * Review reporting on near misses.

PCR16 <> S&R	Operational	Failure to comply with GDPR/Data protection 2018	<ul style="list-style-type: none"> * Harm to, and breach of rights of, owners of the personal (inc. sensitive) data that has been breached. * A range of sanctions from Information Commissioner's Office (ICO), including prosecution and unlimited fines. * Reputational damage. 	Data Protection Officer	2	4	8	<ul style="list-style-type: none"> * Reviewed and updated relevant data policies and processes. * Continue to raise staff awareness and skills required, including annual refresher training. 	2	2	4	No Change	<ul style="list-style-type: none"> * Establish assurance process for senior management team, including the creation of new Information Governance Management Team [underway]. * Review long term resourcing requirements (urgent).
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OS20 <> C&W and E	Strategic	Not maximising commercialisation opportunities at council venues and parks / open spaces	<ul style="list-style-type: none"> * Less income to the council, leading to service pressures. * Financial sustainability of assets. 	Head of Operational Services	4	3	12	<ul style="list-style-type: none"> * Business cases to generate additional income for the council are being prepared * Additional project management resource recruited (2022-23). * Project incubator opportunity included in project management community of practice. * Project management toolkit * Any potential change of use of open spaces / land, such as for development, requires full analysis of revenue implications, e.g. in the form of a committee report detailing financial implications. 	2	3	6	No change	<ul style="list-style-type: none"> *Escalated from committee level as straddles C&W and E committees. *Established project groups for increasing commercialisation in parks. *Business case developed for pet crematorium, memorial garden and the consideration to add in a café. *Catering Hub developed to provide catering for events and building trade *Café in Bourne Hall, launched in May 2023, is expected to generate good footfall and trade *Media campaign to restart dementia hub for day care.

5. Committee Risk Registers

This Committee Risk Register contains the risks identified for the Strategy and Resources Committee, the Environment and Safe Communities Committee and the Community and Wellbeing Committee in accordance with our Risk Management Strategy. An overview of the individual committee risks is summarised on the next page. This risk register will be reviewed by the various policy committee Chairs on a regular basis. The next step will be to confirm risks for Licensing and Planning Policy Committee.

In this register, the inherent risk score (before any mitigations or controls) and the residual risk score (with mitigations and controls in place) have been derived from using the risk matrix below. The matrix is included in the Risk Management Strategy. We assess our risks as follows:

Step 1: Score the **inherent** risk using the matrix below =the expected **impact** of the risk **multiplied** by the **likelihood** of the risk occurring (with no mitigations or controls).

Step 2: Consider how we mitigate the risk and any controls in place.

Step 3: Score the **residual** risk = impact x likelihood (taking into account the controls and mitigations we have in place).

Step 4: Review final risk score against the **risk tolerance boundary** (yellow line). If High (red), seek to further mitigate the risk to reduce it to Medium(amber) or Low (green); or acknowledge why it cannot be lowered at this time.

Likelihood	4 Very likely	4	8	12	16
	3 Likely	3	6	9	12
	2 Possible	2	4	6	8
	1 Remote	1	2	3	4
	<i>Multiplier</i>	1	2	3	4
		Insignificant	Medium	High	Severe
		Impact			

Red	High risks
Amber	Medium risks
Green	Low risks
Yellow	Risk tolerance boundary

Committee risks summary

Strategy and Resources Committee		
Ref.	Risk	Residual Score
PD21	Declining economic vitality in the Borough	9
HR10	Loss of key staff across service through natural turnover and difficulty of recruitment	9
HR11	Lack of leadership and skills to deliver strategies and plan; Lack of clear vision and objectives	9
PR3	Property portfolio fails to generate expected financial revenue due to loss of commercial tenant	8
PR11	Potential loss of income / tenant relating to the East Street property (New Risk)	8
PCR21	Retendering leisure contract	6
F11	Failure to deliver services within agreed budget envelope	4
DST10	Failing to respond to complaints effectively	4
EO8	Ineffective communications to key stakeholders	4

Environment Committee		
Ref	Risk	Residual Score
OS5	Outcome of national waste strategy	12
OS21	Climate change imperatives (e.g. emissions reduction)	12
PD22	Increased costs associated with the new tree strategy (e.g. maintenance)	12
HC10	Significant decrease in parking revenue from car parks	4
OS22	Increasing costs related to maintaining allotments	4

Community and Wellbeing Committee		
Ref.	Risk	Residual Score
HC6	Non-delivery of annual plan objectives, Housing & Community Service, due to response to refugee crisis	12
HC13	Inadequate budget for homelessness over medium-long term	9
HC14	Lack of affordable housing in the Borough	9
HC15	Health and wellbeing worsens in the Borough due to increases in the cost of living	4
PD24	Not producing Arts, Heritage & Culture Strategy	4

Strategy and Resources Committee Risk Register

ID.	Category	Risk Identified & Potential Consequences	Risk Owner	Likelihood	Impact	Inherent Risk	Mitigations & Controls	Likelihood (2)	Impact (2)	Residual Risk	Direction of Travel (compared to previous quarter)	Future Actions to Further Mitigate & Control Risk
PD21	Strategic	<p>Declining economic vitality in the Borough</p> <ul style="list-style-type: none"> * Lack of economic drive and contributions in the Borough. * Reduced opportunities for residents and businesses. 	Head of Place Development	4	3	12	<ul style="list-style-type: none"> * BID support. * Annual Plan and creating an environment for businesses to thrive. * Local Enterprise Partnership commissioned to undertake work on behalf of the Council. * Ongoing work with local authorities in East Surrey to develop economies and support business. 	3	3	9	No change	
HR10	Operational	<p>Loss of key staff across services through natural turnover and difficulty of recruitment</p> <ul style="list-style-type: none"> * Decision making. * Staff resilience and morale. * Service disruption. * Health and safety and compliance. * Loss of institutional knowledge. * Threat to day-to-day service delivery 	Head of People & OD	4	3	12	<ul style="list-style-type: none"> * Succession planning. * Exit interviews. * Improve offer/terms and condition. * More creative recruitment process. 	3	3	9	No change	<ul style="list-style-type: none"> * Interim arrangements extended for the two directors and the Head of Place Development pending confirmation of permanent requirements. * Interim arrangements proposed for S151 Officer from 1/8/23. * Long term proposals for confirming senior management structure to be established

HR11	Strategic	<p>Lack of leadership and skills to deliver strategies and plans / lack of clear vision and objectives</p> <ul style="list-style-type: none"> * Do not meet financial targets. * Unable to implement corporate strategies and plans. * Unable to implement revenue generating initiatives / opportunities. 	Director of Corporate Services	3	4	12	<ul style="list-style-type: none"> * Recruitment strategy. * Approach to retaining talent. * Corporate Planning * Performance management. * My Performance Conversation review. * Risk Management. * Project Management and delivery * Performance culture and accountability. 	3	3	9	No change	<ul style="list-style-type: none"> * Interim arrangements extended for the two directors and the Head of Place Development pending confirmation of permanent requirements. * Interim arrangements proposed for S151 Officer from 1/8/23. * Leadership development programme in development * Management development programme subject to appointment of OD business partner
PR3	Financial	<p>Property portfolio fails to generate expected financial revenue due to loss of commercial tenant</p> <ul style="list-style-type: none"> * Significant loss of income. * Costs associated with replacing a tenant. * Budgetary pressures. 	Head of Property & Regeneration	3	4	12	<ul style="list-style-type: none"> * Tenant sustainability checks undertaken before lease awarded. * Commercial properties chosen on criteria that mitigates risk of lack of high-quality commercial tenants. * Reporting to members – including options appraisals. 	2	4	8	No change	
PR11	Financial	<p>Potential loss of income / tenant relating to the East Street property</p> <ul style="list-style-type: none"> * Significant loss of income. * Costs associated with replacing a tenant. * Budgetary pressures. 	Head of Property & Regeneration	3	4	12	<ul style="list-style-type: none"> * Work underway to improve the condition of the building. * Business case being prepared which considers a move from the Town Hall to this property. 	2	4	8	New Risk	

PCR21	Operational	<p>Retendering leisure contract</p> <ul style="list-style-type: none"> *Reputational damage. * Health and wellbeing of residents compromised *Loss of business continuity *Financial impact due to reduction of management fee 	Procurement & Contracts Manager	2	4	8	<ul style="list-style-type: none"> * Early engagement with local D&B's for lessons learnt session. * Monthly contract management and maintenance meetings in place. * Procurement Strategy and CSOs. * Contingency time included, i.e. process started 18 months before contract award. *Initial meeting with potential suppliers to help with the procurement 	2	3	6	No change	* Specialist leisure consultants will be instructed to support procurement.
F11	Financial	<p>Failure to deliver services within agreed budget envelope (e.g. increase in operational costs, staffing, energy etc.)</p> <ul style="list-style-type: none"> * Negative impact on council budget. * Service changes. 	Head of Finance	3	3	9	<ul style="list-style-type: none"> * Regular budget monitoring of cost/income and reporting to committee of material budget variances around £100k. * Annual budget setting agreed by S&R Committee (inc. inflationary pressures). * Competitive procurement of utilities. 	2	2	4	No change	*When 2023/24 government energy support bill passes through parliament, an assessment will be made as to whether the Council can access support.
DST10	Operational	<p>Failing to respond to complaints effectively (New Risk)</p> <ul style="list-style-type: none"> *Poor customer experience. *Reputational damage. *Increased costs related to officer time required to rectify complaints after initial response. *Costs related to any financial settlements / restitutions. *Public interest for non-compliance report issued by the Local Government and Social Care Ombudsman (LGSCO) 	Head of Policy & Corporate Resources	3	2	6	<ul style="list-style-type: none"> * Complaints information published on the council's website. * Complaints managed by two teams to enhance focus on different complaint types and improve response times. * Key staff have undertaken LGSCO training. 	2	2	4	N/A	

E08	Operational	<p>Ineffective communication to key stakeholders, such as: residents, businesses, Surrey County Council</p> <ul style="list-style-type: none"> * Audiences and stakeholders are unaware of information and updates that are important and/or relevant to them * Negative impact on Council reputation if we are seen not to be communicating and engaging effectively with audiences 	Communi-cations and Engage-ment Manager	3	3	9	<ul style="list-style-type: none"> * The communications function has been extensively reviewed by the Communications & Engagement Manager and the team over the past six months * The team's work has made the shift from reactive to more proactive and strategic communications * All communications channels are being reviewed and improved to ensure they are reaching and engaging our audiences * A number of proactive communications campaigns directly related to corporate priorities have been run and the focus on proactive campaigns will continue * Protocols and processes to ensure everyone in the organisation is accessing and utilising the comms team/function in the most impactful and efficient way are being developed * Strong progress on this work has been made over the past six months since the new Communications Team was established. Work continues to get protocols in place, improve our communications channels and to continue to enhance the communications function. 	2	2	4	No change	
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Community and Wellbeing Committee Risk Register

ID.	Category	Risk Identified & Potential Consequences	Risk Owner	Likelihood	Impact	Inherent Risk	Mitigations & Controls	Likelihood (2)	Impact (2)	Residual Risk	Direction of Travel (compared to previous quarter)	Future Actions to Further Mitigate & Control Risk
HC6	Strategic	<p>Non-delivery of annual plan objectives, Housing and Community Service, due to our response to refugee crisis (Syrian, Afghan, Ukrainian).</p> <p>The Homes for Ukraine Scheme has just been extended for a further year.</p> <p>* Unable to deliver strategic objectives in the annual plan / Four Year Plan.</p>	Head of Housing & Community	4	4	16	<p>* A vacancy to recruit a new and experienced community development worker. Used grant funding and recruited a new refugee coordinator (temporary post).</p> <p>* Framework in place for monitoring the annual plan.</p> <p>* Working with partners to share the workload.</p> <p>*E&E Refugee Network recruited 2 posts to assist with Homes for Ukraine scheme.</p>	4	3	12	No change	* Currently tolerating residual risk at present, as the team is working at full capacity and our response to refugees crisis requires immediate attention.
HC13	Financial	<p>Inadequate budget for homelessness over medium-long term</p> <p>* Unbudgeted expenditure.</p> <p>* Pressure on statutory service.</p> <p>* Need to source funding from outside current budget envelope.</p>	Head of Housing & Community	3	4	12	<p>*MTFS.</p> <p>* Responded to government consultation and proposed new funding model.</p> <p>* Business process review of Housing.</p> <p>* Fraud investigations.</p> <p>* New Strategic Housing Manager recruited.</p>	3	3	9	No change	<p>*Approved Homelessness and Rough Sleeping Strategy and Action plan</p> <p>*Microhomes proposal</p> <p>*New Staff to focus on PSL (unsuccessful recruitment) and Move On</p> <p>*Housing First funding for 2 new units of accommodation</p> <p>*Additional government funding for homelessness 2023-2025</p>

HC14	Strategic	Lack of affordable housing in the Borough *Changes to Borough demographics. * Homelessness. *Provision for key workers	Head of Housing & Community	4	3	12	* Preparing a Local Plan. * Strategic Housing Manager recruited. * Strategic housing group in place. *Constructive discussions with T&C (Roseberry)	3	3	9	No change	*Affordable Housing Delivery Improvement Plan *Engagement with key stakeholders on potential for development
HC15	Strategic	Health and wellbeing worsens in the Borough due to increases in the costs of living * Reduction in health and wellbeing of those who live, work and study in the Borough. * Related socio-economic factors worsen. * Increased demand for council services. * Increased costs related to mitigation activities.	Head of Housing & Community	3	3	9	* Provision of social prescribing services. * Provision of Community and Wellbeing Centre and associated services. * Health Liaison Panel *Services provided by our community including voluntary sector * Funding E&E employment hub Household Support Fund *Continued funding to support key voluntary organisations *Provide premises for Epsom and Ewell Food Pantry and Primary Care network at Bourne Hall cottage	2	2	4	No change	*Working with NHS partners to establish New Neighbourhood Boards (PCNST, EEBC)

PD24	Strategic	<p>Not producing Arts, Heritage & Culture Strategy (inc. reliance on partners to contribute)</p> <ul style="list-style-type: none"> *Not delivering on corporate priorities & Future 40 *Reputational damage *Missed opportunities 	Principal Programme Manager	4	3	12	<p>*First Stakeholder event held in 2022 and the outcomes fed into developing the ACH Strategy for the Borough</p> <p>*Recruited new Arts, Culture and Heritage Programme Officer in early 2023.</p> <p>*The draft themes and pillars of the ACH strategy were approved by the SMT in April 2023.</p> <p>*Several activities in the annual plan to deliver arts, heritage and culture activities underway</p>	2	2	4	No change	<p>*Another stakeholder consultation was held in June 2023.</p> <p>*The final Strategy, along with a costed and resourced action plan, will be submitted to the Community and Wellbeing Committee on 10 October 2023.</p> <p>*Develop comms plan</p>
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Environment Committee Risk Register

ID.	Category	Risk Identified & Potential Consequences	Risk Owner	Likelihood	Impact	Inherent Risk	Mitigations & Controls	Likelihood (2)	Impact (2)	Residual Risk	Direction of Travel (compared to previous quarter)	Future Actions to Further Mitigate & Control Risk
OS5	Operational	<p>Outcome of national waste strategy</p> <ul style="list-style-type: none"> * Budget implications. * Service delivery implications. * Operational management implications. * Stakeholder management. 	Transport & Waste Services (TWS) Manager	4	3	12	<p>*National waste strategy is being constantly monitored by both TWS Manager and Surrey Environment Partnership (SEP).</p> <p>*Government’s announcement has been delayed including</p> <ul style="list-style-type: none"> - Extended Producer Responsibility (EPR) to be around October 2025 (was due April 2024). - implementation of Consistency of Collections until after EPR in October 2025. <p>*Government has recently re-confirmed that the Deposit Return Scheme (DRS) to be launched in October 2025.</p> <p>*Officers and SEP will continue to monitor and advise management and Committee Chair/Vice Chair.</p>	4	3	12	No change	*Until further announcements are made and analysed, it is not possible to properly forecast the cost and service impacts of the national waste strategy.

OS21	Strategic	<p>Climate change imperatives (e.g. emissions reduction) requiring significant changes to our fleet vehicles and their management</p> <ul style="list-style-type: none"> * Increased costs related to adapting / purchasing new vehicles. * Reduced efficiency. * Costs related to staff retraining. * Costs related to depot adaptations. 	Transport & Waste Services (TWS) Manager	4	3	12	<p>* Presentation given to Member Climate Change Group in November 2022 and it highlighted the significant cost and resource issues we face in replacing the current vehicle fleet with eco alternatives.</p> <p>* Similar presentation given to SMT in January 2023.</p> <p>*Currently working with the Climate Change Officer to investigate the option of submitting a bid to Surrey County Council's grant to support the acquisition of 6 electric vans. Other bid options are being explored before submitting to SMT for consideration.</p> <p>* TWS Manager has joined an Surrey Environment Partnership (SEP) working group on developing green fleet options.</p>	4	3	12	No change	The Council will consider the best options for future vehicle as we prepare for the renewal of the fleet contract.
PD22	Financial	<p>Increased costs associated with the new Tree Management Plan (e.g. maintenance)</p> <ul style="list-style-type: none"> * Budgetary pressures. * Public health and safety. * Increased tree planting leads to increased ongoing maintenance costs. * Reputational damage. 	Head of Place Development	4	3	12	<p>* Financial due diligence undertaken.</p> <p>* Tree Management Plan Adopted in March 2023.</p> <p>* Tree maintenance contract in place, any unbudgeted spends are assessed on a case by case basis accounting for health and safety implications.</p>	4	3	12	No change	*Budget requirements are regularly monitored.

HC10	Financial	<p>Significant decrease in parking revenue from car parks * Increased budgetary pressures.</p>	Parking & Enforcement Manager	3	4	<p>12</p> <ul style="list-style-type: none"> * Budget profile exercise undertaken * Annual budget setting process. * MTFS. * In July 2022 Strategy & Resources Committee agreed a reduction in Car Park income budgets of £781,000, to reflect the reduction in parking activity levels due to the change of working and lifestyle choices after the pandemic. * Any potential change of use of car park land requires full analysis of revenue implications, e.g. in the form of a committee report detailing financial implications. 	2	2	<p>4</p>	Improved	<ul style="list-style-type: none"> * The car park income in June 2023 was slightly more than that of the same month last year, although visitor numbers were slightly down. * Direction of travel has improved as car park revenue has generally increased from 2021/22. * Environment Committee agreed to changes in car park fees with effect from April 2023 and the impact of these changes is under review
OS22	Operational	<p>Increasing costs related to maintaining allotments * Increased budgetary pressures. * Fall in 'quality' of allotments. * Impact on users' health and wellbeing. * Reputational damage</p>	Streetcare Manager	3	3	<p>9</p> <ul style="list-style-type: none"> * Annual budget setting process. * MTFS. 	2	2	<p>4</p>	No change	<ul style="list-style-type: none"> * The Allotment Working Group has been set up. * Review fees and charges in relation to the cost of managing the sites. * Staff in need for administration will be included as part of the planned restructure.

6. Annual Governance Statement Actions

Every year we publish our Annual Governance Statement, which outlines our assurance on our systems of internal control. As part of this review, we identify the key actions which we feel will improve our corporate governance. The following actions were approved by the Audit and Scrutiny Committee on 18 July 2023 and their progress will be provided at the next quarterly update.

Issues identified	Action to be undertaken	RAG Status <i>Updated in Quarter 2</i>
To develop a new Medium Term Financial Strategy (MTFS), in support the Council's annual service objectives and to maintain and improve the Council's financial resilience	Finance – <ul style="list-style-type: none"> • Strategic Financial Planning report to the Strategy and Resources (July 2023) • Budget/MTFS report to Full Council (February 2024) 	N/A
Community Infrastructure Levy (CIL)	Place Development – Review and update CIL policies and procedures (inc. Neighbourhood CIL) (31 December 2023)	N/A
Development Management	Place Development – Review the Development Management transformation project to ensure the council is no longer under 'threat of designation' (30 September 2023)	N/A
The Local Plan	Place Development – Ensure there is adequate resourcing in place to the Local Plan is progressed in the most efficient way possible. (31 March 2024)	N/A
Homelessness	Housing & Community – Review governance arrangements around the Homelessness and Rough Sleeper Strategy. (31 March 2024)	N/A
Business Continuity	Policy & Corporate Resources – Review and update as necessary all team's business continuity plans. (31 March 2024)	N/A

Health and Safety	All Services/ Policy & Corporate Resources- Continue to gather assurance on the effectiveness of health and safety management across all council services and venues. (31 March 2024)	N/A
Human Resources	People & Organisational Development- Enhance the resilience of the People & Organisational Development Service by recruiting vacant posts and continuing with multi-role training for new team members. (31 March 2024)	N/A
Recruitment and retention	All Services/ People & Organisational Development – Review and enhance recruitment and retention policies and procedures for key roles across the council. (31 March 2024)	N/A
IT Strategy	IT- Approval of IT Strategy with associated funding and implementation plan. (30 September 2023)	N/A
PSN Certificate	IT- Complete PSN health check (May 2023) and any remedial actions that result. (31 March 2024)	N/A
IT policies	IT- Review and update IT policies as necessary (31 March 2024)	N/A
Information governance	Legal Services- Establish officer information governance scrutiny and oversight group (30 September 2023)	N/A
Officer schemes of delegation	Legal Services – Review, and update as required, the officer schemes of delegation. (30 September 2023)	N/A

