



Corporate Performance Report

Date: February 2024

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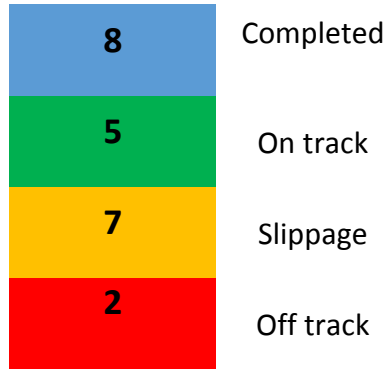
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1. Summary

Actions

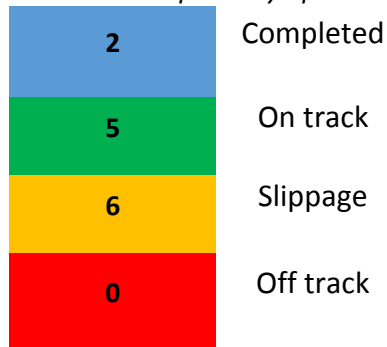
Annual Plan Actions

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



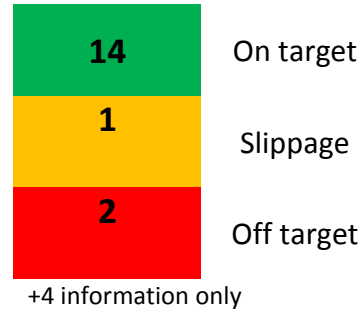
AGS Actions

To be reported at the next quarterly update



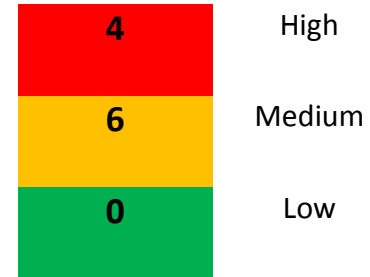
Measures

KPIs

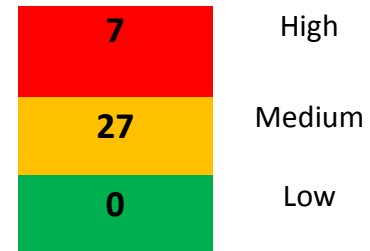


Risks

Corporate Risks



Committee Risks



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](#).

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.

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	Blue	Completed - At its meeting on 21 September 2023, the Strategy and Resources Committee approved the IT Strategy including the indicative funding implications for delivering the defined IT Roadmap in 2023-2027.
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	Blue	Completed - Moveworks was appointed to undertake high level feasibility study regarding the business case to relocate. A costed plan around the potential Town Hall move was considered and approved by the Strategy and Resources Committee and the Council in December 2023.
4	S&R	Development of full options proposals around the development/disposal of	Programme plan completed and agreed	Acting Director of Environment,	30 November 2023	Amber	Our procurement via the 'Home England' professional framework has led to the

		current Town Hall site if Item 3 is approved for progression.	at S&R then put to Council for approval.	Housing and Regeneration / Head of Property and Regeneration			shortlisting of potential candidates to carry out site feasibility study and delivery options.
5	S&R	a) Identification of business startup premises through Town Centre masterplan, Local Plan and Economic Development work. Refresh previous Economic Development 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. The pause on the Local Plan that applied between 22 March and 24 October 2023 could impact delivery of start-up premises. Following the approval by the Licensing and Planning Policy Committee (LPPC) on 22 November 2023, the consultation on the Draft Town Centre Master Plan was held between - 24 November to 22 December 2023
		b) Hold Pop-Up shops / displays in Bourne Hall	b) 4 Pop-Ups, 1 per quarter.	Head of Operational Services			Green
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	It has been confirmed that Economic Development sits under Strategy & Resources Committee. Resourcing of Economic Development activity to be reviewed through the budget setting process. LEP funding has been redirected to Tier 1 councils (Surrey County Council) and therefore discussions need to be undertaken as part of County Deal to understand impact upon local Economic Development activity and funding.
7	LPP	a) Regulation 18 and Regulation 19 on the Local Plan consultation.	Consultation commenced.	Head of Place Development	31 March 2024	Red	a) The Regulation 18 consultation was completed in March 2023. The pause on the Local Plan that applied between 22 March and

		b) Continued close working with Business Improvement District Partners and other key stakeholders and partners. c) Introduction of a Community Infrastructure Levy (CIL) Protocol.	Evidence of ongoing engagement			Red	24 October 2023 delayed the Regulation 19 consultation by approximately 11 months till January 2025. The revised timetable was approved by the LPPC on 22 November 2023.
						Amber	b) The Council is having a monthly meeting with the Business Improvement District Partners. Resource implications – there is currently no economic development resource.
						Green	c) A draft spending protocol is due to be considered by the LPPC in January 2024.
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	The Council motion to 'pause' the Local Plan in 22 March 2023 had implications for the timetable. Following the Council's decision to 'unpause' the Local Plan on 24 October 2023, a revised timetable was approved by the LPPC on 22 November 2023.
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	Blue	Completed - Focussing work on Ash Dieback and the backlog of tree-related applications delayed the business case. The business case has been agreed and resource will be in place during the first quarter of 2024. Therefore this action can be marked complete.
10	LPP	Produce a business case for additional resource to enable a Tree Replacement Notice Review and formulation of new process.	Business case taken to committee by completion date.	Head of Place Development	01 October 2023	Blue	Completed - As above, re: Item 9.

11	LPP	A local Heritage List (to link to/inform Item 13).	Approved by committee.	Head of Place Development	30 September 2023	Amber	LPPC had previously made a decision to pause the progression of the Local Heritage List in parallel to the Local Plan. Following the Council's decision to 'unpause' the Local Plan on 24 October 2023, a paper will be submitted to the LPPC in 2024 to consider consultation in finalising the list.
12	C&W	Increased surplus from Bourne Hall	<ul style="list-style-type: none"> Flying Saucer Cafe launched. Increased retail activity. Completion of charges review. 	Head of Operational Services	31 December 2023	Green	The business plan has been agreed by SLT. There has been an increased cafe retail activity for July – September 2023. The income generated up to the end of September was 87% of the year target.
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	Blue	Completed -The ACH Strategy and a costed and resourced action plan were approved by 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	Blue	Completed - A programme of events has been developed after securing various sources of funding. In September 2023, a new free-to-access digital heritage tour app was launched and more digitals tours are being planned. A community mural project around biodiversity of the Borough was also delivered. Two separate projects involving a group of primary pupils and the arts students from NESOT were held in Bourne Hall Museum in June and November 2023. Regular posts of events are being planned on our social channels for 2024 and the development of a new webpage to celebrate Arts, Culture and Heritage are being investigated. This work will now become business as usual as the ACH Strategy has been approved and the ACH Officer is now

							permanent. Therefore the action will be marked as complete.	
15	C&W	a) Implementation of the Year 1 actions in the Homelessness and Rough Sleeper Strategy including updating empty homes policy	a) 85% of Year 1 actions complete, with quarterly reports to the committee Chairs.	Head of Housing and Communities	(a) 31 March 2024	Green	a) Quarterly update and progress reports on Homelessness and Rough Sleeper Strategy have been provided to the Chair and Vice-Chair of Community & Wellbeing Committee (C&WB). Half yearly report on Homelessness budget reported to C&WB Committee in October 2023. An end of Year 1 report will be provided to the Committee in March 2024.	
		b) Housing stakeholder event(s) to be agreed and arranged with clear outcomes	b) Housing event held and network operational				Blue	Completed - b) A stakeholder analysis has been completed and a programme of engagement has been developed which is in operation.
		c) Establish a plan for private rented sector inspections and stock condition surveys	c) Consultation completed and any recommendations from DLUHC considered - member briefing paper produced if appropriate				Amber	c) There are currently limited resources to conduct private rented housing inspections 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	Approach approved by the Strategic Leadership 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.	

		non digital - particularly around the seldom heard.					
17	E	Implementation of Priority 1 2023-2024 Climate Change Action Plan actions.	85% of actions completed	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 completed 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) On 17 October 2023, the Environment Committee approved the continuous discussion with Natural England to include Epsom Common Local Nature Reserve (LNR), Manor Open Space, Horton Country Park LNR, Hogsmill LNR and Nonsuch Park in the proposed Thames To Downs National Nature Reserve.
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	Amber	The initial feedback by the consultant was that the business case is not feasible. A further investigatory work has been undertaken with a private operator with an established business in this sector. Some options of this potential partnership are currently being prepared.
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	In October 2023, the government announced that it was scrapping 'Consistency of Collections' (what councils must collect, and how) in favour of a new strategy which is called 'Simpler Recycling'. In essence, this is expected to allow councils to continue their current collection services, albeit with some additional requirements being phased in between 2025 and 2027.

							In consultation with the Chair and Vice Chair of Environment Committee, the Officers responded to the two government consultations on 'Simpler Recycling' by the November 2023 deadline.
21	C&D	Complete the mobilisation phase of the new CCTV arrangements.	Completed by completion date, including being compliant 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 March 2024 to allow the Council's approval of CCTV monitoring policy and finalisation of operating procedure before concluding this action.
22	C&D	Work with the Community Safety Partnership (CSP) 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	Annual scrutiny of the CSP has been scheduled to be presented to Audit and Scrutiny by the deadline.

3. Key Performance Indicators

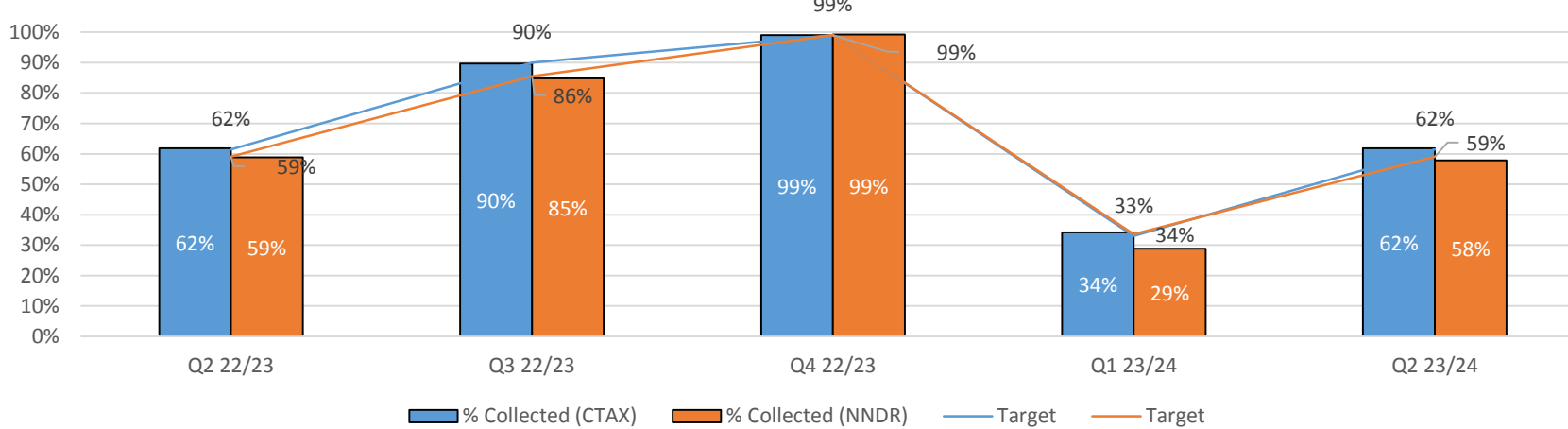
The table below contains a summary of our performance against a set of indicators. Further detail is provided in the individual graphs and commentaries that follow.

Strategy & Resources	Council tax collected		Environment	Car park visitors	
	NNDR collected			Car Park Revenue	
	Investment income			PCN appeals responded to	
	Forecast outturn			Waste collection	
	Staff sickness			Recycling	
	Staff turnover		Licensing & Planning Policy	Major applications determined	
	Vacant property rate			Minor applications determined	
	Priority reactive maintenance			Other applications processed	
	Number of complaints received			Appeals dismissed	
	Average no. of days taken to process Stage 1 & 2 complaints.		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.
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Strategy and Resources Committee

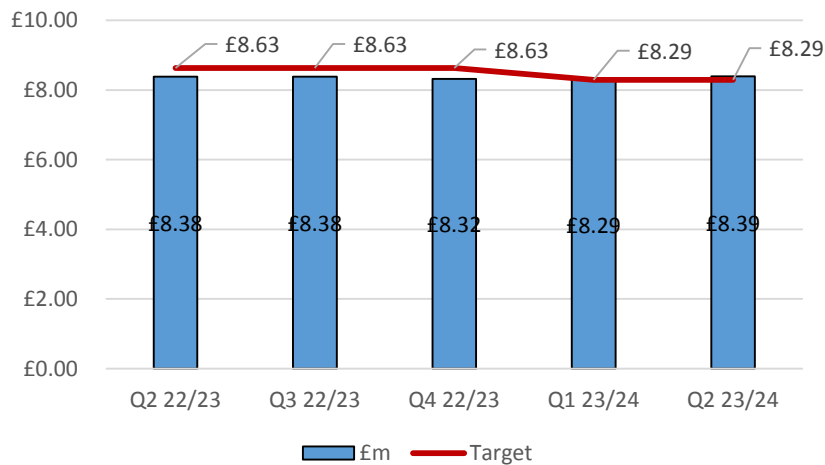
Council Tax and Non Domestic Rates Collected Year to Date (%)



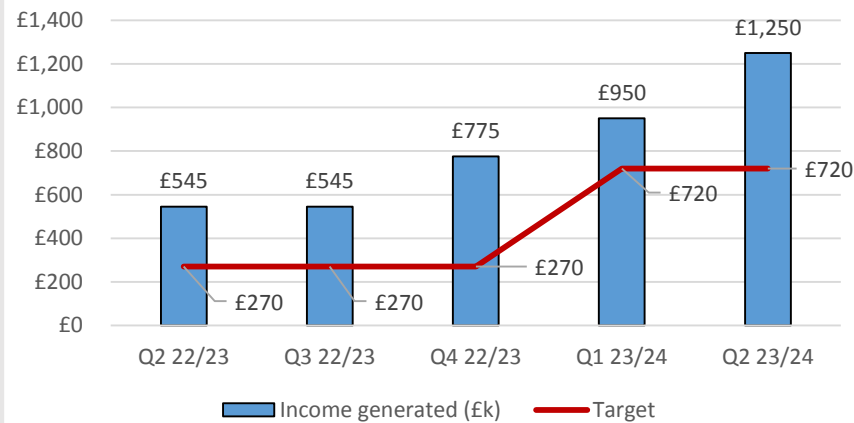
Commentary

Council Tax Collected and NNDR Collected
On target to collect projected profile figure for Council Tax. Although still slightly below the NNDR profile target of 59.10%, the deficit has been dramatically reduced and it's on course to be back on target by the end of Q3.

Forecast Outturn vs Budget (£m)



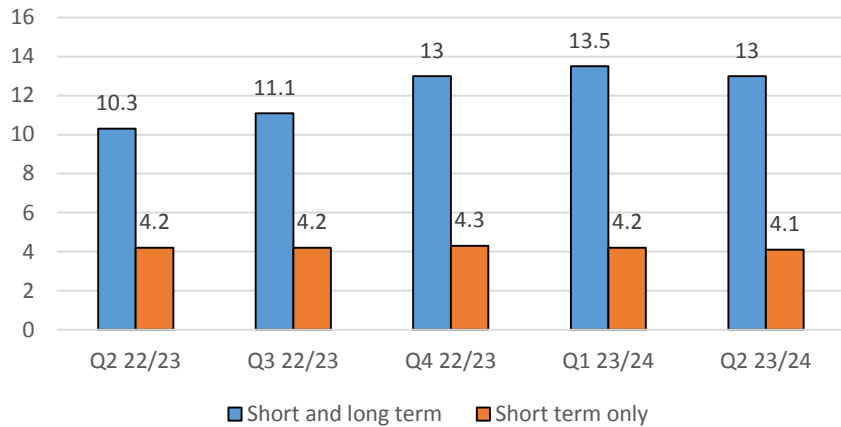
Income from Treasury Management Investment (£k)



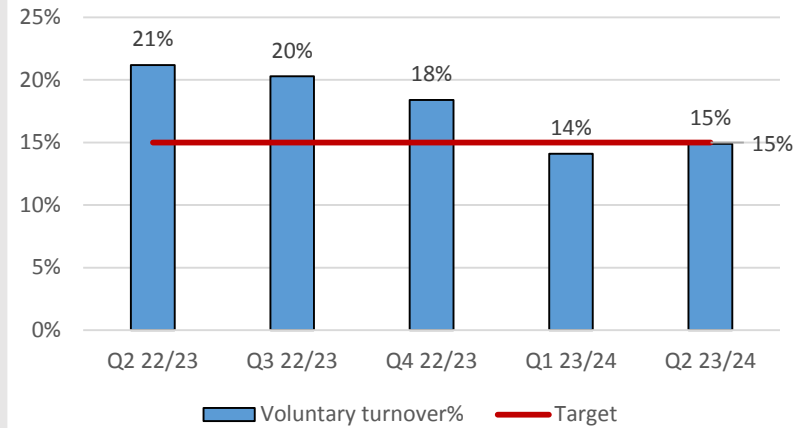
Treasury management investment income
Forecast income is on track to exceed the target, assisted by elevated interest rates.

Forecast outturn vs budget.
Close to achieving target in Q2.

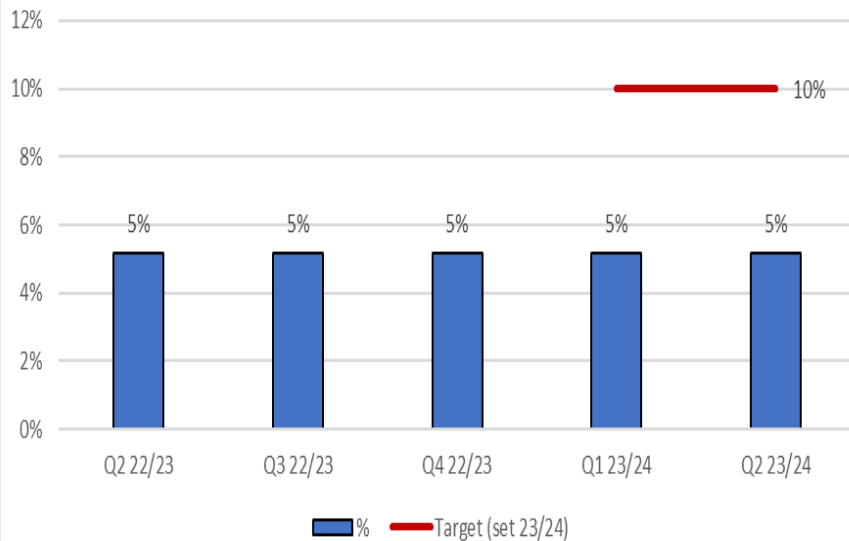
Average Number of Days of Sickness Absence



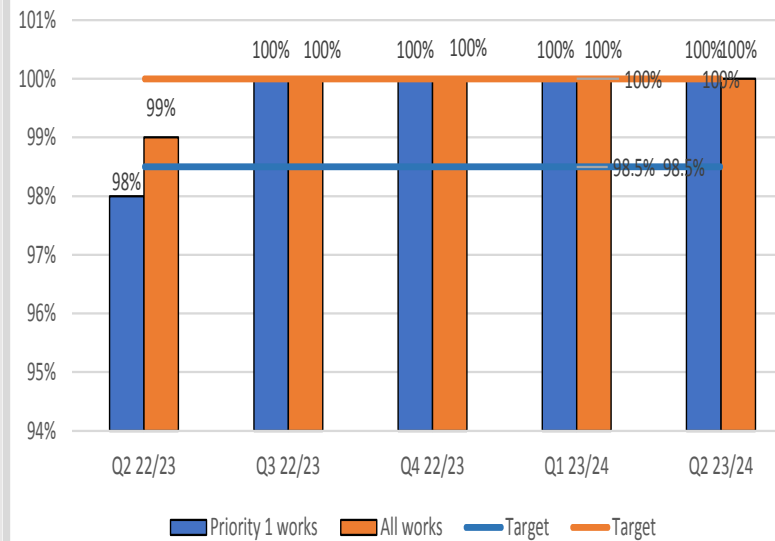
Voluntary Staff Turnover (rolling year to date %)



Council-owned vacant property rate (%)



Completion rates for property maintenance works (%)



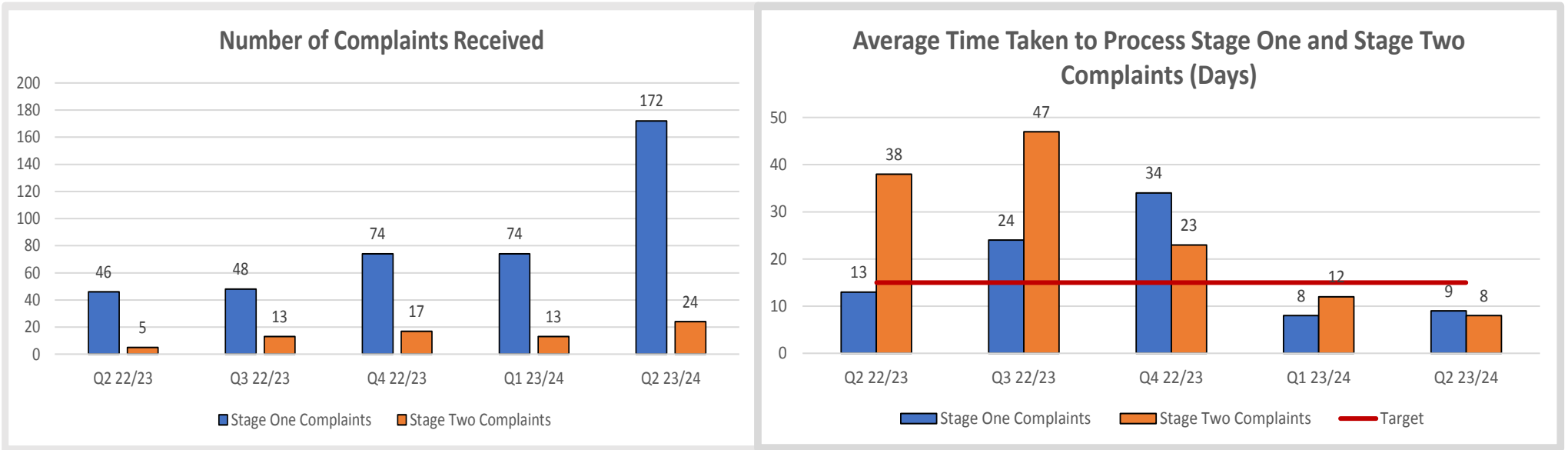
Commentary

Days lost to staff sickness.
Levels have remained steady for the past 3 quarters. The figure for 'All Sickness' is largely due to significant individual cases.

Staff Turnover
Q2 turnover is in line with 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 achieve target.



Commentary

Number of complaints received.

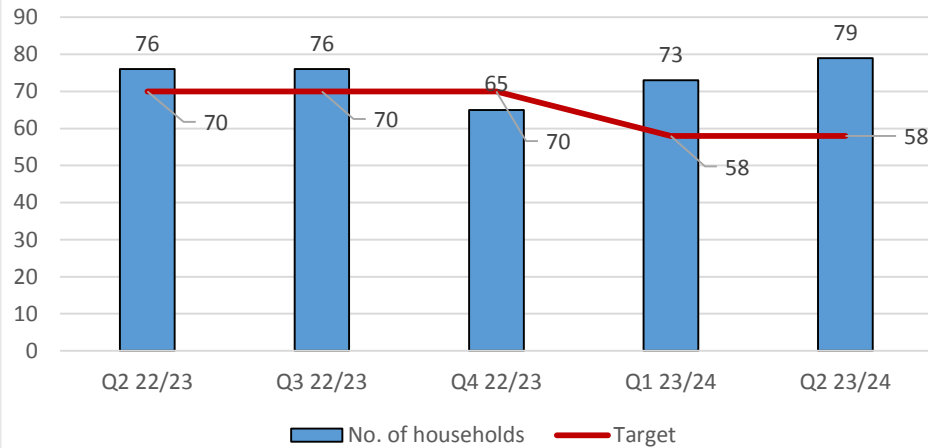
Cancelled garden waste collections in July and August 2023 caused a high number of Stage 1 and Stage 2 complaints, which also fed into September. Alternative collection arrangements were put in place.

Average time taken to process complaints.

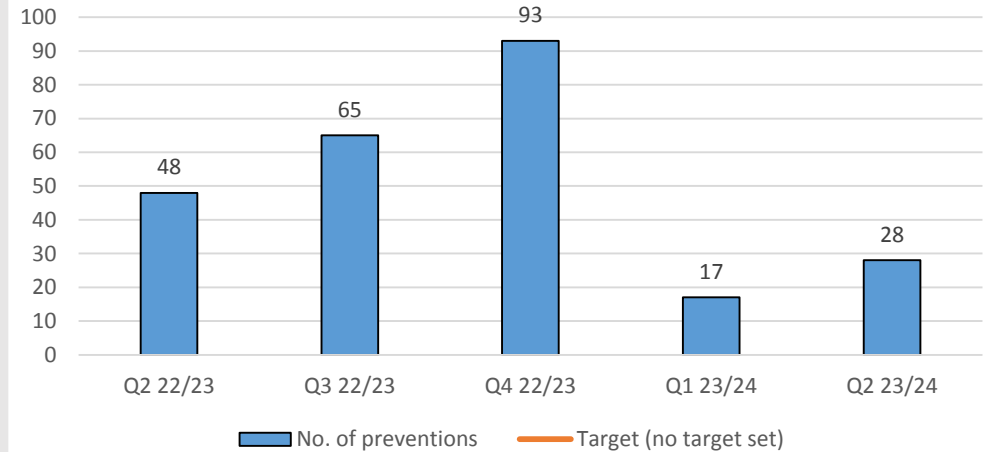
Processing time for both Stage 1 and Stage 2 complaints achieved targets.

Community and Wellbeing Committee

Number of households living in nightly paid accommodation



Number of Successful Preventions of Homelessness (Year to Date)



Commentary

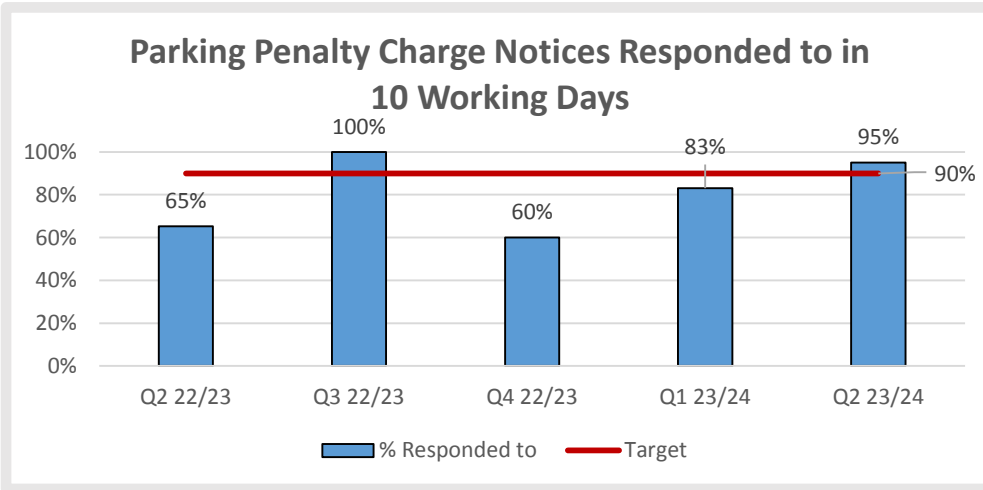
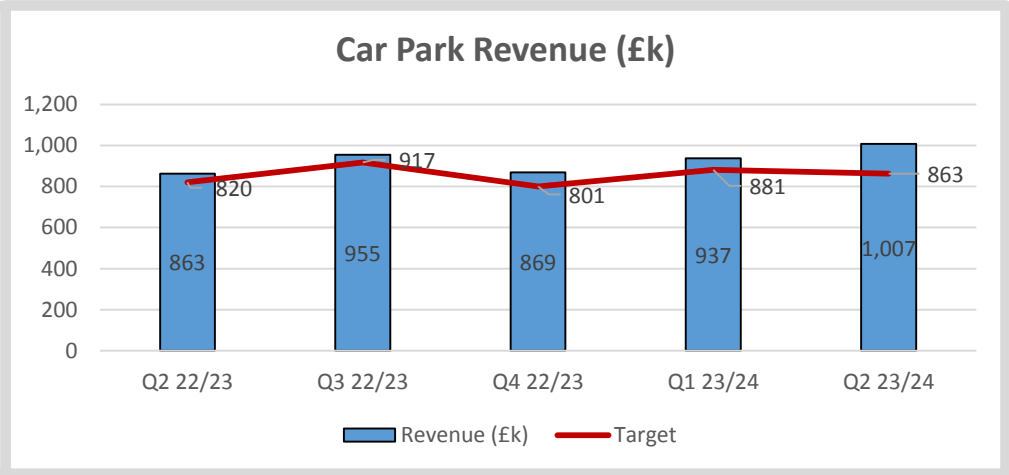
No of households living in nightly paid accommodation

The number of homeless applications continues to increase, and we are required to meet our statutory duty to provide temporary accommodation if they meet the criteria. These figures are reflected in risks HC9 and HC13 in the Corporate and Community & Wellbeing risk registers below.

Prevention from homelessness

The private rented market is very challenging with rent levels well above LHA.

Environment Committee

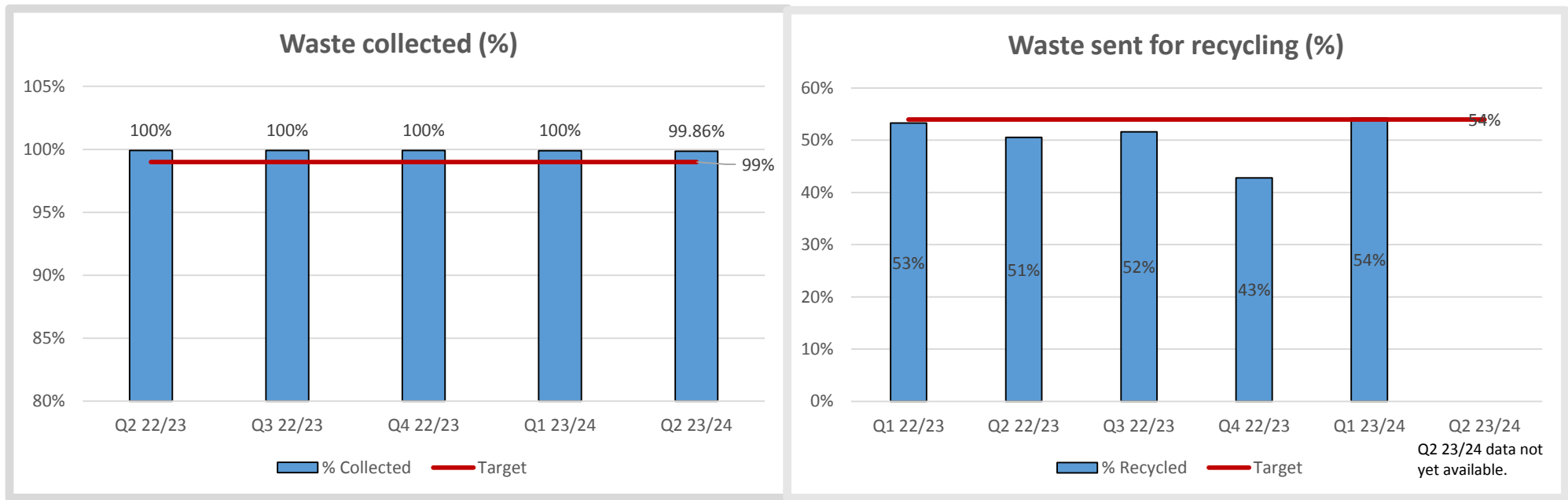


Commentary

Car park visitors
Visitor numbers have increased in comparison to Q2 last year. The Ashley Centre, Hope Lodge and Upper High Street have all seen an increase for each month in comparison to 22/23.

Car Park Revenue
Car park fees increased in April 2023 but visitor numbers have remained consistent and therefore increased revenue has been generated to maintain the car parks and support other essential Council services.

PCN appeals response time.
Responses are ahead of the 90% target and all appeals answered within statutory timeframes.



Commentary

Recycling rate

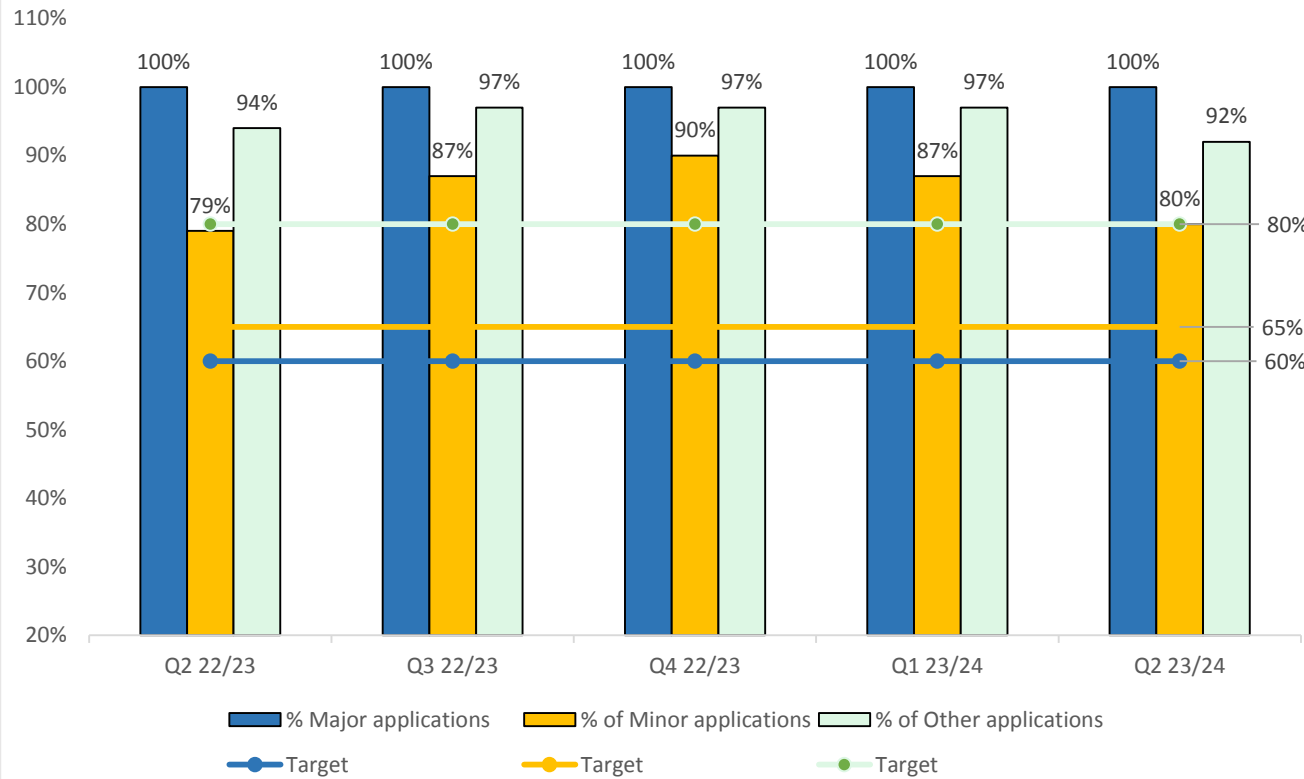
There have been significant improvements in contamination. Although Q1 started poorly, with a full load of 14.3 tonnes being rejected at the MRF (sorting plant), we have seen very little contamination since then, including no contamination whatsoever in the months of June or September. We sent a leaflet on contamination to all houses in June and July, and this seems to have had a noticeable impact on reducing contamination.

Waste collection

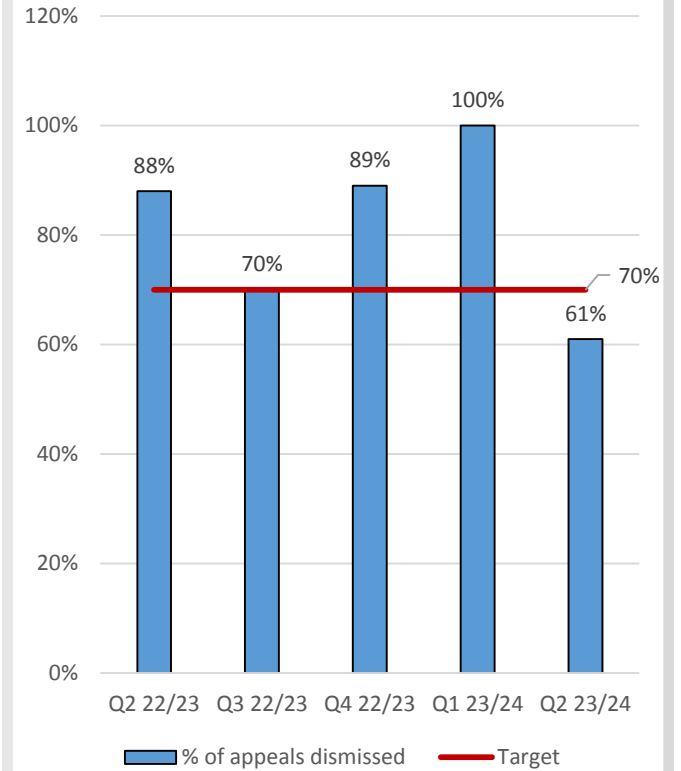
Q1 and Q2 were both impacted by our issues with short-staffing and resultant inability to run garden waste services on several occasions. However, the waste was collected on other days, and the 'Standby' arrangements trialled for 6 weeks 18/9 - 27/10 resolved that issue. Recommendation for further 3-week extension of 'Standby' scheme is currently under consideration. Notwithstanding our issues, however, missed bins remain on track well above target.

Licensing and Planning Policy Committee

Percentage of planning applications determined in time



Planning appeals dismissed (%)



Commentary

Major, Minor and Other applications

Performance of Major, Minor and Other applications decided in time remains strong. A number of performance improvement actions have been implemented.

Appeals dismissed.

Average trend remains strong, however a small number of decisions made by Inspectors went against the Council this Quarter. Over an average Quarter, the Council receives relatively few planning appeal decisions, and therefore a few decisions can disproportionately skew the figures. For the last Quarter, 5 of the 13 appeals were allowed against the Council's original decision to refuse.

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 <i>Multiplier</i>	1	2	3	4
		1 Insignificant	2 Medium	3 High	4 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... 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
					4	4	16		4	4	16		
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. * During Summer 2023 briefing sessions were held to ensure that Members have a clear and shared understanding of the development of the Local Plan. 	4	4	16	No change	Full Council un-paused the Local Plan on the 24 October 2023 and workshops are being developed in relation to the spatial strategy during Nov and Jan 24.
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. 	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 	4	4	16	Worsened	<ul style="list-style-type: none"> * Two unsuccessful recruitment attempts of a Private Sector Leasing post. Now exploring the possibility of Apprenticeship. * Mid-year report to C&W Committee (10 Oct) carried out and follow up actions to be completed. * As year-end

			* Potential damage to reputation.					* 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.					approaches, the opportunity of decreasing costs of the annual budget reduces.
IT6 <> S&R	Operational	Failure or interruption to IT services	* Damage caused by successful cyber-attack. * Loss of data. * Service delays. * Reputational damage. * Staff satisfaction.	Head of IT	4	4	16	* 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 risk, consolidates related IT divisional / service risks.	3	4	12	No change	* Approve and implement full IT Strategy. * Robust management of programme to implement strategy inc. regular reviews to track progress and effectiveness.
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	No change	* Adult Safeguarding audit undertaken and Child Safeguarding Audit (S11) due in 2024. * Implement staff training plan. * Included compulsory safeguarding module

								* New communications content to all staff. * Update safeguarding EHub pages. * Initiated internal safeguarding group					for all staff. * Exploring additional resources funded by Refugee Funding which includes safeguarding activities.
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. * Funding agreed for 2023/24.	3	3	9	No change	Risk currently under review by Climate Change Working Group.
PCR16 <> S&R	Operational	Failure to comply with GDPR/Data protection 2018	* Harm to, and breach of rights of, owners of the personal (inc. sensitive) data that has been breached. * Reputational damage * A range of sanctions from Information Commissioner's Office (ICO), including prosecution and unlimited fines.	Data Protection Officer	4	4	16	* Reviewed and updated relevant data policies and processes. * Continue to raise staff awareness and skills required, including annual refresher training. * Internal audit review planned Q4 2023/4.	3	3	9	Worsened	* Establish assurance process for senior management team, including the creation of new Information Governance Management Group [underway]. * Currently reviewing DPO resource requirements.

HR10 <> S&R	Operational	<p>Vacancies in roles which have significant impact on service delivery and corporate leadership.</p> <p>HR10 Escalated from committee level with revised wording and replaces HR5: "Failing to recruit to vacant positions promptly with quality candidates, and retain existing talent."</p>	<ul style="list-style-type: none"> * Reduced capacity and capability to make key decisions. * Future direction and planning is limited to short term. * Reduced staff resilience and morale. * Service disruption. * Lack of focus on corporate compliance. * Loss of institutional knowledge. 	Head of HR & OD	3	4	12	<ul style="list-style-type: none"> * Tailored and targeted recruitment plans for identified key roles. * Role and Service resilience plans for long term absence inc revised role and service objectives. * Long- and short-term succession planning. * Regular career development planning with individuals. * Improve offer/terms and condition. * Exit interviews. * Appointed the permanent Director of Environment, Housing and Regeneration * Appointed a new Head of IT. 	3	3	9	<p>REVISED RISK (Combines leadership and recruitment of key roles, Risks linked to wider recruitment and development reviewed at Committee and operational levels)</p>	* Interim arrangement extended for the Director of Corporate Resources.
F2 <> S&R	Financial	Failure to balance the budget annually & 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. 	Head of Finance	4	4	16	<ul style="list-style-type: none"> * Budget setting framework agreed by S&R Committee. * 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. 	4	2	8	No change	* New MTFS for 24-28 to be produced.

			<ul style="list-style-type: none"> * Significant damage to reputation. * Additional budget requirement for energy and EPC mitigation reduces budgets available for service delivery. 					<ul style="list-style-type: none"> * Quarterly budget monitoring. * Competitive procurement undertaken for utilities. * Asset reviews underway. * Ongoing programme of improvement to energy efficiency of council buildings (inc. reporting to councillors at committee). 					
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. * Unable to support strategic and operational / service deliver partners. 	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 regular 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. * Emergency planning audited by Internal Audit (02/06/23). 	2	3	6	No Change	* Business Continuity audit [underway].

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. 	Business Assurance Manager	2	4	8	<ul style="list-style-type: none"> * Assurance checks undertaken by H&S Officer (risk-based). * Managers' health & safety checklist in place. * 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. * 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 remaining Health and Safety Audit (2022) action [underway]. * Issue "Managing Health & Safety" e-learning as mandatory. * Review reporting on near misses.

5. Committee Risk Registers

The following committee risk registers contain risks identified for the budget Policy Committees in accordance with our Risk Management Strategy. An overview of the individual committee risks is summarised on the next two pages. These risk registers are reviewed by the various policy committee Chairs on a regular basis.

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	ESCALATED TO CORPORATE REGISTER WITH REVISED WORDING Loss of key staff across service through natural turnover and difficulty of recruitment	9
HR11	Lack of leadership & 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

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	12
HC14	Lack of affordable housing in the Borough	9
OS20	Not maximising commercialisation opportunities at council venues and parks/open spaces	6
HC15	Health and wellbeing worsens in the Borough due to increases in the cost of living	4
PD24	PROPOSE RETIRING RISK Not producing Arts, Heritage & Culture Strategy	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

Licensing and Planning Policy Committee		
Ref.	Risk	Residual Score
PD7	Unable to meet costs of essential tree maintenance	12
PD26	Failing to submit the Local Plan ahead of legislation changes in July 2025, due to delays in completing critical path items	12
PD2	Planning breaches are not enforced	9
PD19	Macro-economic factors (inc. lack of development) lead to reduced planning income e.g. related to planning applications and CIL fees	9
PD3	Decline in development management performance i.e. threat of designation	8
PD27	The spatial strategy site selection cannot be agreed at Full Council	8
PD28	Surrey County Council (SCC) fails to deliver the transport assessment in time to meet our critical path milestones to deliver our Local Plan on or before July 2025	8
PD6	CIL Governance inadequate	6
PD8	Non-recovery of planning fees	6
HC25	Reduced demand for licensing services due to increased fees/charges	6
PD20	Not preparing for legislative changes related to planning	4
PD29	Planning policy officers leaving the council	4
HC16	Not preparing for legislative changes related to licencing	4
HC23	Non-recovery of licencing fees	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	* Currently no resource available to progress any further.
HR10	Operational	<p>PROPOSED REVISION TO RISK AND ESCALATION TO CORPORATE RISK REGISTER (SEE HR10 ON CORPORATE RR)</p> <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. * Appointment of permanent Director of Environment, Housing and Regeneration 	3	3	9	No change	<ul style="list-style-type: none"> * Interim arrangements extended for the Director of Corporate Services * 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. * Full Council decision made for the Council to move from its current premises to this building. 	2	4	8	No change	

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. 	Business Assurance 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. * Project plan signed-off by Strategic Leadership Team. 	2	3	6	No change	<ul style="list-style-type: none"> * Plan to appoint specialist leisure consultants to run procurement (end-to-end) with a local neighbouring authority procurement partner.
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	
DST10	Operational	<p>Failing to respond to complaints effectively</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. * Holding quarterly meetings with "complaint areas". 	2	2	4	No change	<ul style="list-style-type: none"> * Draft Joint Complaint and Handling Code from LG Social Care and Housing Ombudsman will become statutory guidance requiring councils to adopt the code from April 2024. * EEBC will review, adapt, and develop processes and procedures (inc. Committee reporting) to meet the standards required by the new Code.

EO8	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"> * Communications function extensively reviewed by Comms & Engagement Manager and team over the past year. * Team’s work shifted to more proactive and strategic communications. * All comms channels are in the process of being reviewed and improved to ensure reaching and engaging our audiences. * Proactive comms campaigns directly related to corporate priorities already run with future focus on proactive campaigns. * Developing protocols and processes to ensure everyone in the organisation is accessing and utilising the comms team/function in the most impactful and efficient way eg an account management/client system. 	2	2	4	No change	<ul style="list-style-type: none"> * A new Communications Strategy is in the later stages of development and is due before S&R Committee in January 2024.
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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>	Community Development Manager	4	4	16	<p>* Recruited a new community development worker. In addition, grant funding has been used to recruit 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>* Epsom and Ewell Refugee Network recruited two posts to assist with Homes for Ukraine scheme.</p>	4	3	12	No change	<p>* Currently tolerating residual risk at present, as the team is working at full capacity and our response requires immediate attention.</p> <p>* Lack of capital resources to house refugees, including availability of local properties, which continues to pose a serious risk. Pressure points will be around May and June 2024 due to the risk of ending of the 'Thank you' payment to the hosts of Homes for Ukraine Scheme.</p>

HC13	Financial	<p>Inadequate budget for homelessness over medium-long term</p> <ul style="list-style-type: none"> * Unbudgeted expenditure. * Pressure on statutory service. * Need to source funding from outside current budget envelope. 	Strategic Housing Manager	3	4	12	<ul style="list-style-type: none"> * MTFS. * Responded to government consultation and proposed new funding model. * Business process review of Housing. * Fraud investigations. * Strategic Housing Manager 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"> * Approved Homelessness and Rough Sleeping Strategy and Action Plan. * Microhomes planning application submitted. * Two unsuccessful recruitment attempts of a Private Sector Leasing post. Now exploring the possibility of Apprenticeship. * Mid-year report to C&W Committee (10 Oct) carried out and follow up actions to be completed. * As year-end approaches, the opportunity of decreasing the annual budget costs reduces.
HC14	Strategic	<p>Lack of affordable housing in the Borough</p> <ul style="list-style-type: none"> * Changes to Borough demographics. * Homelessness. * Provision for key workers. 	Strategic Housing manager	4	3	12	<ul style="list-style-type: none"> * Preparing a Local Plan. * Strategic Housing Manager recruited. * Strategic housing group in place. * Constructive discussions with T&C (Roseberry). 	3	3	9	No change	<ul style="list-style-type: none"> * Affordable Housing Delivery Improvement Plan. * Engagement with key stakeholders on potential for development.

OS20	Strategic	<p>Not maximising commercialisation opportunities at council venues and parks / open spaces</p> <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"> * Established project groups for increasing commercialisation in parks. * 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.
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HC15	Strategic	<p>Health and wellbeing worsen in the Borough due to increases in the costs of living.</p> <ul style="list-style-type: none"> * 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	<ul style="list-style-type: none"> * Provision of social prescribing through NHS. * Provision of Community and Wellbeing Centre and associated services. * Health Liaison Panel. * Services provided by our community and voluntary sector. * Funding Epsom and Ewell 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	<ul style="list-style-type: none"> * Working with NHS partners to establish new Neighbourhood Boards (PCN, EEBC). * Household Support Fund. * Continued funding to support key voluntary organisations. * Provide premises for Epsom and Ewell Food Pantry. * Development of a Suicide Prevention Action Plan to Health Liaison Panel * Initiated staff training on suicide prevention.
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PD24	Strategic	<p>Not producing arts, heritage & culture (AHC) 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	<ul style="list-style-type: none"> * First Stakeholder event held in 2022 and outcomes fed into developing the ACH Strategy for the Borough. * Recruited new Arts, Culture and Heritage Programme Officer in early 2023. * The draft themes and pillars of the ACH strategy were approved by the SMT in April 2023. Consulted on in June 2023 and now form part of the Strategy being presented to C&W Committee in October 2023. * Several activities in the annual plan to deliver arts, heritage, and culture activities underway. 	2	2	4	No change	<p>STRATEGY NOW PUBLISHED – PROPOSAL TO RETIRE RISK AND CONSIDER RISKS TO IMPLEMENTATION</p> <ul style="list-style-type: none"> * Another stakeholder event was held in June 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. * Develop comms plan to maintain engagement with key stakeholders.
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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
OSS	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 Transport & Waste Services Manager and Surrey Environment Partnership.</p> <p>* Extended Producer Responsibility (EPR) recently announced as delayed to October 2025 (was due 1/4/24).</p> <p>* Consistency of Collections ('Consistency') also announced as not being implemented until after EPR in October 2025. But still no announcements as to what Consistency will actually mean.</p> <p>* Deposit Return Scheme (DRS) was already announced as for launch October 2025 and that was recently been re-confirmed.</p> <p>* Transport & Waste Services Manager continuing to monitor and advise management and Committee Chair/Vice Chair.</p>	4	3	12	No change	Until further announcements on Consistency are made and analysed, and EPR and DRS are implemented, and their effects understood, it is not possible to properly forecast the cost and service impacts of the national waste strategy. Officers and SEP will continue to monitor and advise.

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	<ul style="list-style-type: none"> * Presentation given to Member Climate Change Group November 2022 highlighted the significant cost and resource issues we face in replacing the current vehicle fleet with eco alternatives. * Similar presentation was given to SMT in January 2023. * Currently investigating with the Climate Change Officer whether we can bid to SCC for grant money to assist in the acquisition of 6 electric vans (3 x Meals-at-Home, 1 x Streetcare, 2 x Parking). SMT to consider before decision on whether bid will be made (other bid options also under consideration). * Transport & Waste Services Manager has joined an SEP working group on developing green fleet options. 	4	3	12	No change	The Council has no realistic prospect of introducing electric vehicles without the identification of appropriate funds to accommodate their high price, and without management resources to recognise the challenges of fleet electrification.
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	<ul style="list-style-type: none"> * Financial due diligence undertaken. * Tree Management Plan Adopted in March 2023. * Tree maintenance contract in place, any unbudgeted spends are assessed on a case-by-case basis accounting for health and safety implications. * Epsom & Walton Downs Conservators contribute to the maintenance of trees on the Downs. 	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 post-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	4	No change	<ul style="list-style-type: none"> * Year to date (September) - car park income is slightly more than for the same month last year, although visitor numbers were slightly down. * Direction of travel has remained the same. * Environment Committee agreed to changes in car park fees with effect from April 2023 and the impact of these changes is under review. * Car parking working group are considering options of future car park charges.
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	4	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 needed for administration will be included as part of the planned restructure.

Licensing and Planning Policy 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
PD7	Financial	<p>Unable to meet costs of essential tree 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	<ul style="list-style-type: none"> * Financial due diligence undertaken. * Tree Management Plan Adopted in March 2023. * Tree maintenance contract in place, any unbudgeted spends are assessed on a case-by-case basis accounting for health and safety implications. * Epsom & Walton Downs Conservators. 	4	3	12	No change	

PD26	Project	<p>Failing to submit the Local Plan ahead of legislation changes in July 2025, due to delays in completing critical path items.</p> <ul style="list-style-type: none"> * Failure to deliver a key corporate objective by the July 2025 deadline. * Additional costs are incurred despite not being able to meet the deadline. * Local Plan work may become paused again and the borough remains with an old out of date plan. * Reputational damage. * Out of date planning policies core strategy. 	Planning Policy Manager	4	4	16	<ul style="list-style-type: none"> * Clearly defined critical path for the project to deliver on time. * Publish and share plan information to all members. * Define go / no-go decision points and key points of the critical path. * Prepare to pause the local plan again if July 2025 cannot be met. 	3	4	12		
PD2	Operational	<p>Planning breaches are not enforced.</p> <ul style="list-style-type: none"> * Negative impact on neighbouring residents. * Legal challenge. * Reputational damage. 	Planning Development & Enforcement Manager	4	4	16	<ul style="list-style-type: none"> * Interim mitigation Enforcement trainer currently actioning enforcement cases * DM Review Project. 	3	3	9		

PD19	Strategic	<p>Macro-economic factors (inc. lack of development) lead to reduced planning income e.g. related to planning applications and CIL fees.</p> <ul style="list-style-type: none"> * Reduced income to the Council. * Reduction in the LPPC's budget. * Unable to achieve national housing targets. * Unable to deliver CIL projects. 	Head of Place Development	3	4	12	<ul style="list-style-type: none"> * Regular budget monitoring reports produced. * Ability to alter fees for discretionary services. Although impact limited as this is only a small percentage of overall planning income. 	3	3	9		
PD3	Operational	<p>Decline in development management performance i.e. threat of designation.</p> <ul style="list-style-type: none"> * Poor customer service. * Legal / governmental challenge. * Reputational damage. * Staff dissatisfaction. 	Planning Development & Enforcement Manager	3	4	12	DM Programme Review.	2	4	8		
PD27	Strategic	<p>The spatial strategy site selection cannot be agreed at Full Council.</p> <ul style="list-style-type: none"> * Failure to meet the July 2025 deadline. * Failure to meet the transport assessment date with SCC. * Creation of Regulation 19 version of the plan is at risk. * Presentation of Regulation 19 to members at full council could result in the plan being voted down. 	Planning Policy Manager	3	4	12	<ul style="list-style-type: none"> * Briefing sessions with all councillors arranged as promptly as possible. * Ensure all information is shared and any questions or uncertainties are dealt with. * Require a large majority of councillors to agree a decision to take this site selection forward. 	2	4	8		

PD28	Strategic	<p>Surrey County Council (SCC) fails to deliver the transport assessment in time to meet our critical path milestones to deliver our Local Plan on or before July 2025.</p> <ul style="list-style-type: none"> * Fail to meet the July 2025 deadline. * Additional costs are incurred despite not being able to meet the deadline. * Local Plan work may become paused again and the borough remains with an old out of date plan. 	Planning Policy Manager	2	4	8	* Define and share the critical path milestones with SCC and ensure that they can deliver to these.	2	4	8		
PD6	Governance	<p>CIL Governance inadequate.</p> <ul style="list-style-type: none"> * Lack of consistency re: CIL spending. * Fail to deliver value for money initiatives with CIL funds. * Unclear criteria/policy for CIL applicants. * Legal challenge. 	Planning Policy Manager	4	3	12	<ul style="list-style-type: none"> * CIL Officer in post. * Currently setting up governance processes for this at present. * Approval to spend goes to S&R. CIL/S106 Business case. 	2	3	6		
PD8	Operational	<p>Non-recovery of planning fees.</p> <ul style="list-style-type: none"> * Reduced Council income. * Misalignment of resource costs and income generation. * Reputational damage. 	Planning Development & Enforcement Manager	4	3	12	<ul style="list-style-type: none"> * Planning applications processing KPIs in place. * Budget monitoring in place. 	2	3	6		

HC25	Financial	Reduced demand for licensing services due to increased fees/charges. * Reduced income to the Council. * Reduced LPPC budget.	Public Protection Manager	3	3	9	* Service managers review any proposed fee changes before being recommended to LPPC. * Regular budget monitoring reports produced.	2	3	6		
PD20	Strategic	Not preparing for legislative changes related to planning. * Inappropriate governance. * Reduced service performance. * Legal challenge. * Reputational damage.	Head of Place Development	4	4	16	* Watching brief maintained by Head of Place Development, Planning Development and Enforcement Manager, and Planning Policy Manager.	1	4	4		
PD29	Operational	Planning policy officers leaving the council. * Knowledge and experience leaves the council. * Increased timings to produce the Local Plan.	Planning Policy Manager	2	4	8	* Managers working closely with staff to ensure they are able to work on the Local Plan until completion.	1	4	4		
HC16	Operational	Not preparing for legislative changes related to licencing. * Inappropriate governance. * Reduced service performance. * Legal challenge. * Reputational damage.	Public Protection Manager	4	4	16	* Watching brief maintained by Head of Housing and Community and Public Protection Manger.	1	4	4		
Hc23	Operational	Non-recovery of licencing fees. * Reduced Council income. * Misalignment of resource costs and income generation. * Reputational damage.	Public Protection Manager	4	3	12	* Budget monitoring in place - currently achieving targets.	2	2	4		

6. Annual Governance Statement Actions

Every year we publish our Annual Governance Statement, which outlines our assessment of the effectiveness of our systems of internal control. As part of this review, we identify 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 first progress update in Quarter 2 is provided in the table below.

Issues identified	Action to be undertaken	Update	RAG Status <i>Updated in Quarter 2</i>
1. 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) 	The Strategic Financial Planning report was agreed by the Strategy and Resources Committee on 13 July 2023. It sets out the approach to be taken to 2024/25 budget setting and the Medium-Term Financial Strategy 2024-28.	Green
2. Community Infrastructure Levy (CIL)	Place Development – Review and update CIL policies and procedures (inc. Neighbourhood CIL) (31 December 2023)	A paper will be submitted to the LPPC in early 2024.	Amber
3. Development Management	Place Development – Review the Development Management transformation project to ensure the council is no longer under 'threat of designation' (30 September 2023)	Whilst the government has confirmed that the Council won't be designated, our performance data will be submitted to the Government at the end of December 2023. The actions of the Development Management Improvement Plan are being implemented.	Amber

4.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)	Following the Council’s decision to ‘un-pause’ the Local Plan on 24 October 2023, a revised timetable (Local Development Scheme) was approved by the LPPC on 22 November 2023. A financial update was also provided at the meeting. The budget request will be considered by the Strategy & Resources Committee in mid-December 2023.	Amber
5.Homelessness	Housing & Community – Review governance arrangements around the Homelessness and Rough Sleeper Strategy. (31 March 2024)	Quarterly update and progress reports on Homelessness and Rough Sleeper Strategy have been provided to the Chair and Vice-Chair of Community & Wellbeing Committee (C&WB). Half yearly report on Homelessness budget reported to C&WB Committee in October 2023.	Green
6.Business Continuity	Policy & Corporate Resources – Review and update as necessary all team’s business continuity plans. (31 March 2024)	The business continuity plans of all services have been reviewed and updated.	Green
7.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)	The first round of assurance checks was completed in Sept 2023 and it is now business as usual.	Green
8.Human Resources	People & Organisational Development (OD)- Enhance the resilience of the People & Organisational Development Service by recruiting vacant posts and continuing with	The 3 recruitment campaigns between Oct 2022 and Mar 2023 to appoint an HR Business Partner on a 6-month fixed-term contract were unsuccessful. Vacancy was re-advertised in Aug and Oct/Nov 2023 as	Amber

	multi-role training for new team members. (31 March 2024)	a 12-month fixed-term OD Business Partner but no appointment. An HR Apprentice was appointed in Sept 2023. A secondment from Surrey County Council to the Head of HR post has been arranged from January 2024.	
9.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)	Policies and procedures to be updated as part of the People's Framework by the end of March 2024.	Green
10.IT Strategy	IT- Approval of IT Strategy with associated funding and implementation plan. (30 September 2023)	At its meeting on 21 September 2023, the Strategy and Resources Committee approved the IT Strategy including the indicative funding implications for delivering the defined IT Roadmap in 2023-2027.	Blue
11.IT policies	IT- Review and update IT policies as necessary (31 March 2024)	The IT policies are being reviewed and updated for formal approval	Amber
12.Information governance	Corporate Services- Establish officer information governance scrutiny and oversight group (30 September 2023)	This is still work in progress.	Amber
13.Officer schemes of delegation	Legal Services – Review, and update as required, the officer schemes of delegation. (30 September 2023)	Completed - A paper was submitted to the Council on 12/12/2023 for decision.	Blue

