



Corporate Performance Report

Date: March 2024

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1. Summary

Actions	Measures	Risks																				
<p>Annual Plan Actions</p> <p><i>Objectives with more than one action have been aggregated using the least favourable RAG status</i></p> <table><tr><td>11</td><td>Completed</td></tr><tr><td>3</td><td>On track</td></tr><tr><td>5</td><td>Slippage</td></tr><tr><td>3</td><td>Off track</td></tr></table>	11	Completed	3	On track	5	Slippage	3	Off track	<p>KPIs</p> <table><tr><td>14</td><td>On target</td></tr><tr><td>1</td><td>Slippage</td></tr><tr><td>2</td><td>Off target</td></tr></table> <p>+3 information only + 1 awaiting data</p>	14	On target	1	Slippage	2	Off target	<p>Corporate Risks</p> <table><tr><td>5</td><td>High</td></tr><tr><td>5</td><td>Medium</td></tr><tr><td>0</td><td>Low</td></tr></table>	5	High	5	Medium	0	Low
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<p>AGS Actions</p> <p><i>(approved by A&S Committee on 18/07/2023)</i></p> <table><tr><td>4</td><td>Completed</td></tr><tr><td>3</td><td>On track</td></tr><tr><td>5</td><td>Slippage</td></tr><tr><td>1</td><td>Off track</td></tr></table>	4	Completed	3	On track	5	Slippage	1	Off track		<p>Committee Risks</p> <table><tr><td>8</td><td>High</td></tr><tr><td>23</td><td>Medium</td></tr><tr><td>1</td><td>Low</td></tr></table> <p>+1 No score</p>	8	High	23	Medium	1	Low						
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1	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
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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.	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	Director of Environment, Housing and	30 November 2023	Amber	The priority has been the completion of Item 3 first. Whilst procurement of the consultancy team (via the 'Homes England' professional

		current Town Hall site if Item 3 is approved for progression.	at S&R then put to Council for approval.	Regeneration / Head of Property and Regeneration			framework) commenced in July 2023, the framework process has designated timescales and will conclude by the end of February 2024. The undertaking of a site feasibility study and delivery options is expected to take approximately six months before submitting a reporting to S&R Committee and Full Council for consideration.
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 and 22 December 2023. Officers are now considering the responses received from the consultation. One of the key strategic aims of the recently adopted Arts, Culture and Heritage Strategy is 'economic growth'. Opportunities to secure pop-up and start up space for practitioners in the cultural sector are being explored.
		b) Hold Pop-Up shops / displays in Bourne Hall	b) 4 Pop-Ups, 1 per quarter.	Head of Operational Services		Green	b) Various events have been taken place in Bourne Hall since April 2023 including 7 'Cash in the wardrobe'. In December, we held 4 pop ups of local stalls and the first Christmas event which increased the footfall within the venue. Museum staff are continuously working with the Arts, Culture and Heritage Programme Officer on events and displays including the LGBTQI+ Gallery of Love without Limits.
6	S&R	Clarify committee ownership of the Economic Development activity and identify resource	Group established and approved by committee.	Head of Place Development	30 September 2023	Blue	Completed - 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

		requirements and funding to progress further. If agreed, develop a costed and resourced Economic Development Strategy.					local Economic Development activity and funding. Economic Development sits under our Strategy and Resources Committee. 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	Amber	a) The Regulation 18 consultation was completed in March 2023. The pause on the Local Plan that applied between 22 March and 24 October 2023 delayed the Regulation 19 consultation by approximately 11 months to January 2025. The revised timetable and the additional funding were approved by the LPP Committee on 22 November 2023 and the Strategy and Resources Committee on 12 December 2023 respectively. Officers are working on track in meeting the revised timetable including the preparation for the Regulation 19 consultation on Local Plan. A report will be submitted to LPPC in November 2024 and the full Council in December 2024 for approval.
		b) Continued close working with Business Improvement District Partners and other key stakeholders and partners.				Amber	b) The Council is having a monthly meeting with the Business Improvement District Partners. Resource implications – there is currently no economic development resource.
		c) Introduction of a Community Infrastructure Levy (CIL) Protocol.				Green	c) A draft Community Infrastructure Levy (CIL) Spending Protocol was approved by the LPPC on 18 January 2024. Training is being scheduled for members in March 2024.
8	LPP	Draft Infrastructure Delivery Plan (linked to the Local Plan), which includes telecommunications infrastructure. Develop clear definition of what 'digital	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 LPP Committee on 22 November 2023. A revised

		connectivity' means in the context of Council Strategy and deliverables and agree delivery plan.					Infrastructure Delivery Plan will be prepared to support the Regulation 19 (Pre Submission) Local Plan and revised as appropriate following consultation.
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 for targeted consultation	Head of Place Development	30 September 2023	Red	LPP Committee 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 September 2024 to consider targeted 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	Blue	Completed -The business plan has been agreed by SLT. There has been an increased cafe retail activity since April 2023. The income generated between April 2023 and January 2024 has exceeded the target for this financial year by approx. 35%.
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 digital 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 c) Consultation completed and any recommendations from DLUHC considered - member		(b) & (c) 30 November 2023	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	briefing paper produced if appropriate			Red	c) There are no current resources to conduct proactive private rented housing inspections and stock condition surveys as the team is currently focussing on reactive work of private rented housing inspections and the mandatory HMO licensing scheme.
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 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.
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. The latest progress report was submitted to the Environment Committee on 23 January 2024.
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. Further investigatory work has been undertaken with a private operator with an established business in this sector. A joint site was held on 16 January 2024. 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' in favour of a new strategy which is called 'Simpler Recycling'. The Council responded to the government consultation on the new strategy. In January 2024, DEFRA notified the Council of £100,000 grant to increase food recycling, likely focussing on flats.
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	The video surveillance system policy was approved by the Council on 12 December 2023 and the CCTV cameras are now in operation, a consultant has been appointed to audit the operation of the policy and a report with recommendation will be produced in May 2024. Once completed, this action will be concluded.
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	Blue	Completed - an annual review of the CSP work was submitted to the Audit and Scrutiny Committee on 1 February 2024.

3. Key Performance Indicators

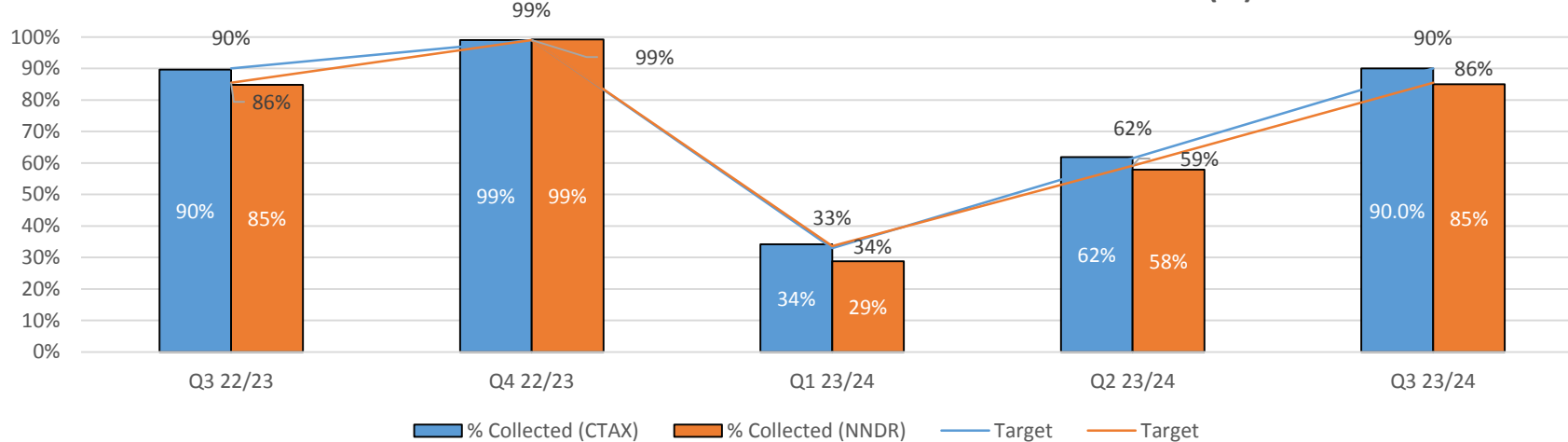
The table below contains a summary of our performance against a set of indicators. Further detail is provided in the individual graphs and commentaries that follow.

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.

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. NNDR income is on track to achieve the 24/25 targeted collection rate.

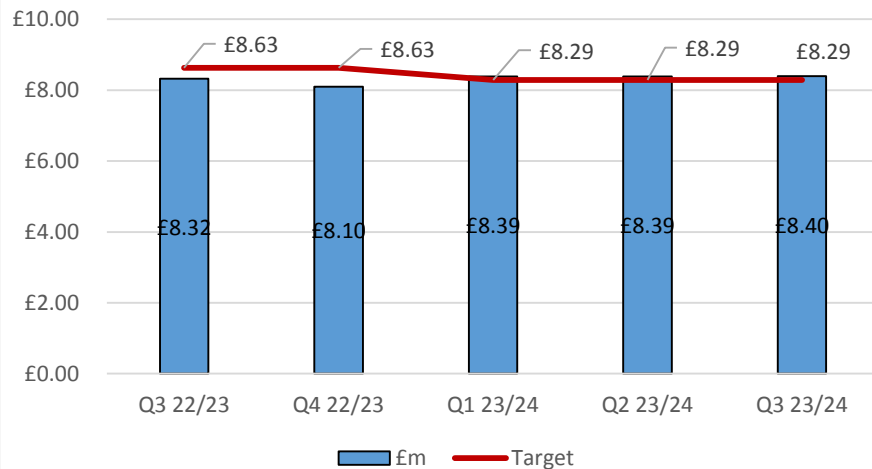
Treasury management investment income

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

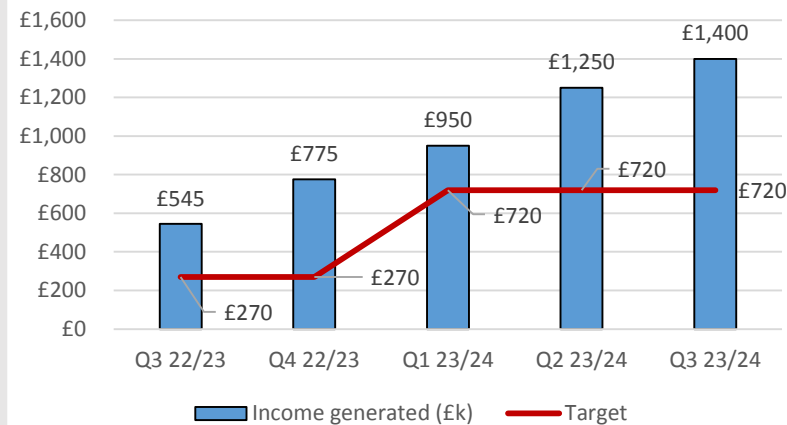
Forecast outturn vs budget.

Close to achieving target in Q3, although a relatively small increase since last quarter.

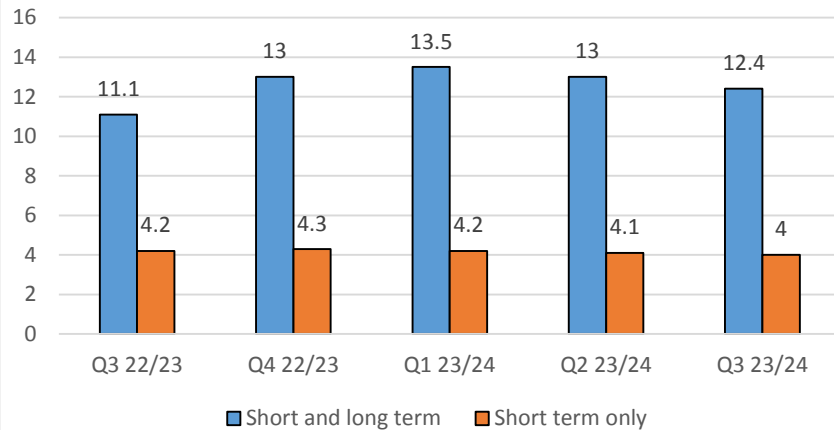
Forecast Outturn vs Budget (£m)



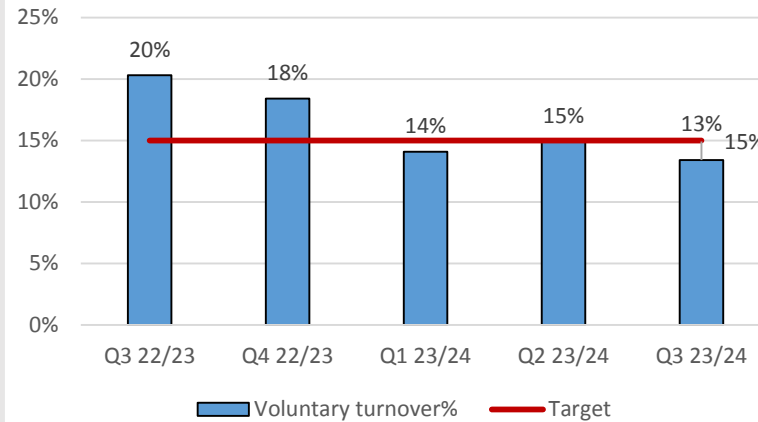
Income from Treasury Management Investment (£k)



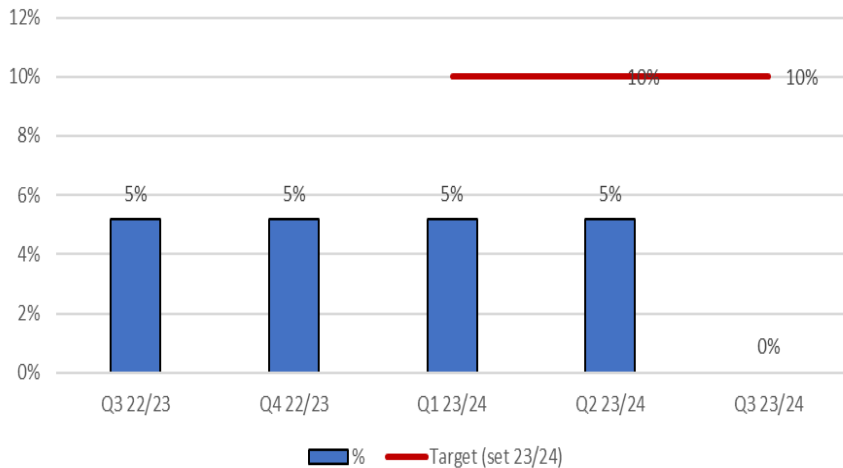
Average Number of Days of Sickness Absence



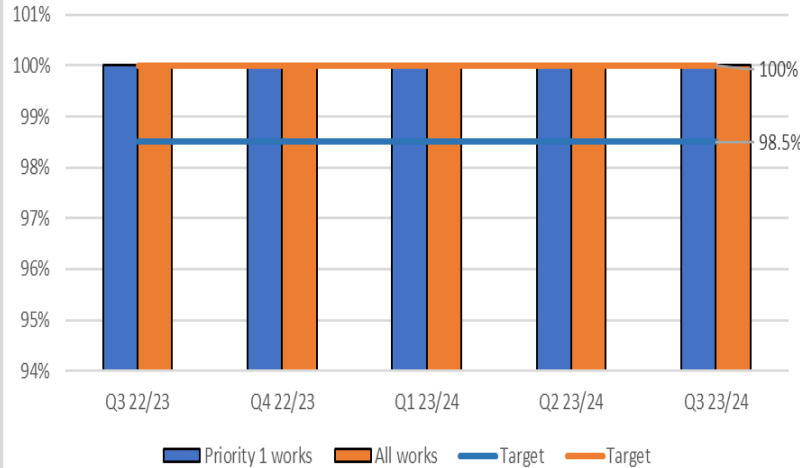
Voluntary Staff Turnover (rolling year to date %)



Council-owned vacant property rate (%)



Completion rates for property maintenance works (%)



Commentary

Days lost to staff sickness.

The position has improved as a number of long-term cases have been dealt with and this is anticipated to continue throughout the year.

Staff Turnover

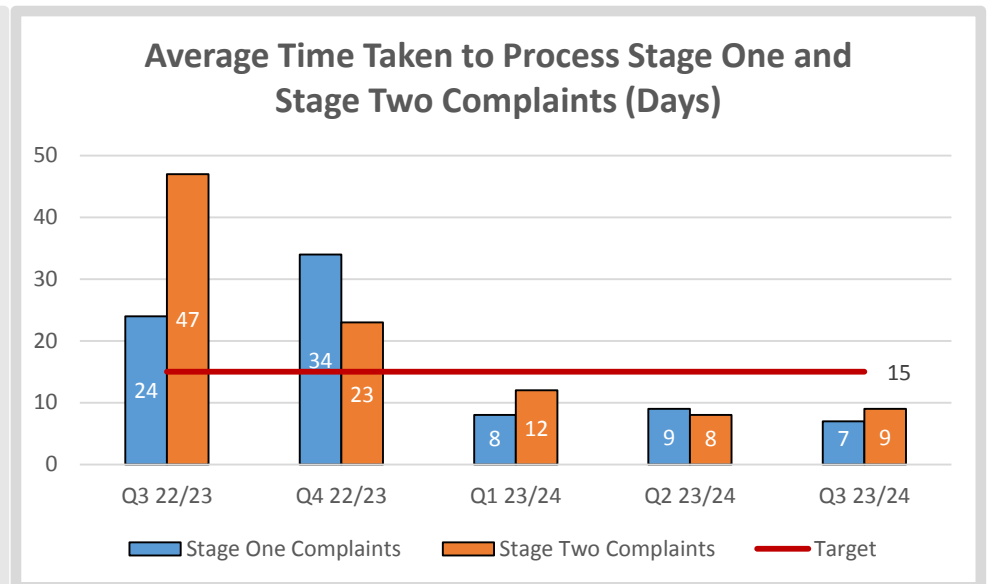
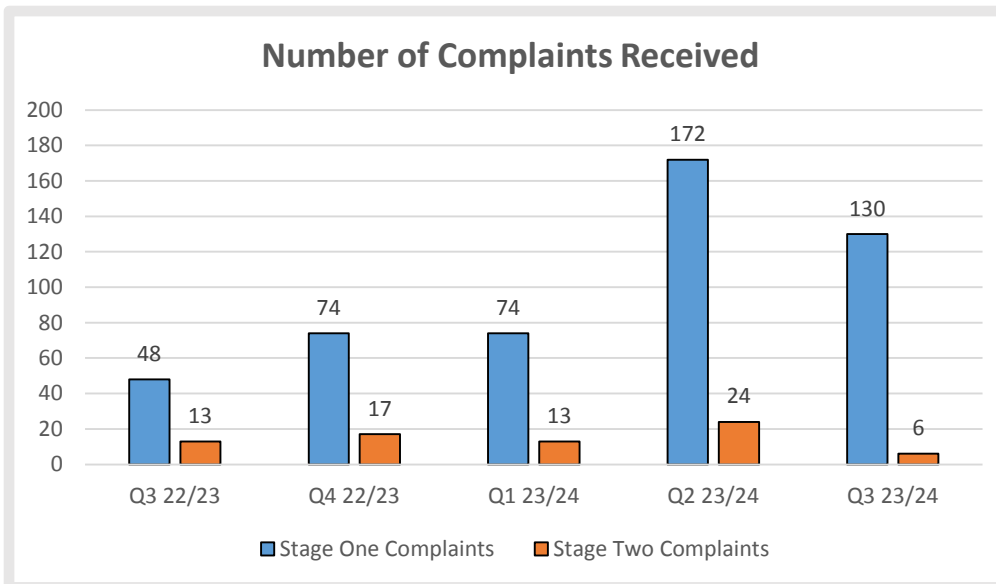
Q3 turnover improved, achieving target by 2%.

Vacant property rate

The achieved 0% vacancy rate is entirely due to UCA's lease completion of Parkside House. 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

All maintenance (statutory and planned) has been completed within the target.



Commentary

Number of complaints received.

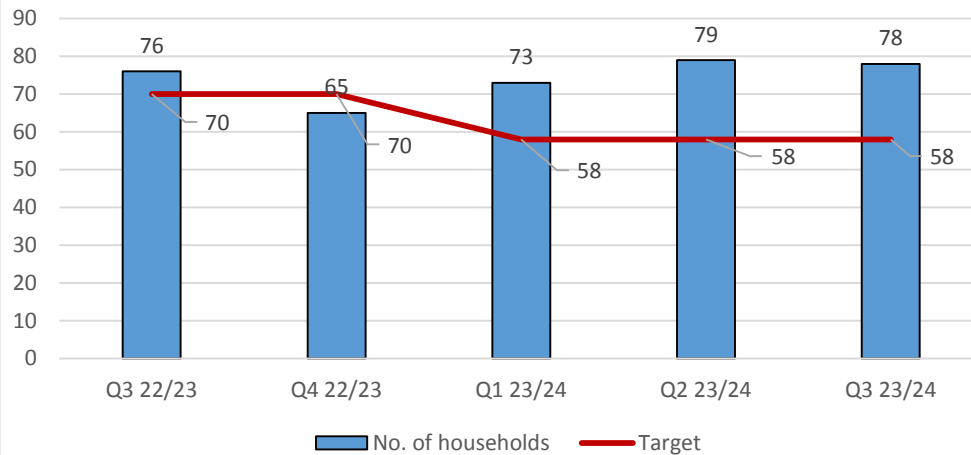
There were a high number of complaints in December due to Christmas refuse collections and cancelled garden waste and recycling collections. From December 14th to align with Local Govt Office guidance we will record 'comments' as Stage 1 complaints rather than 'unofficial' complaints, which will in future likely show an increase in complaints compared to previous quarters.

Average time taken to process complaints.

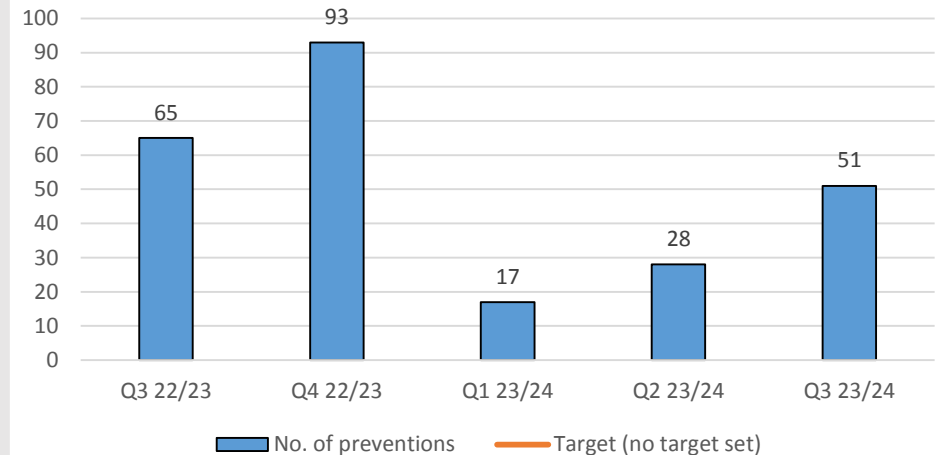
Processing times for both Stage 1 and Stage 2 complaints are within the targets.

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 (NPA)

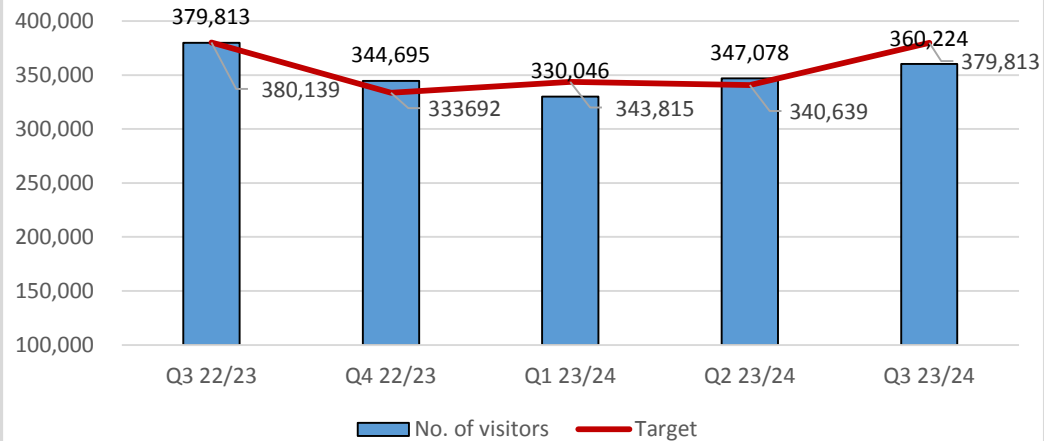
Whilst the homeless pressures continue the numbers of households in NPA has remained comparable with the previous quarter. Some larger households in NPA have moved into temporary accommodation and this has resulted in reduced expenditure in November and December 2023.

Prevention from homelessness

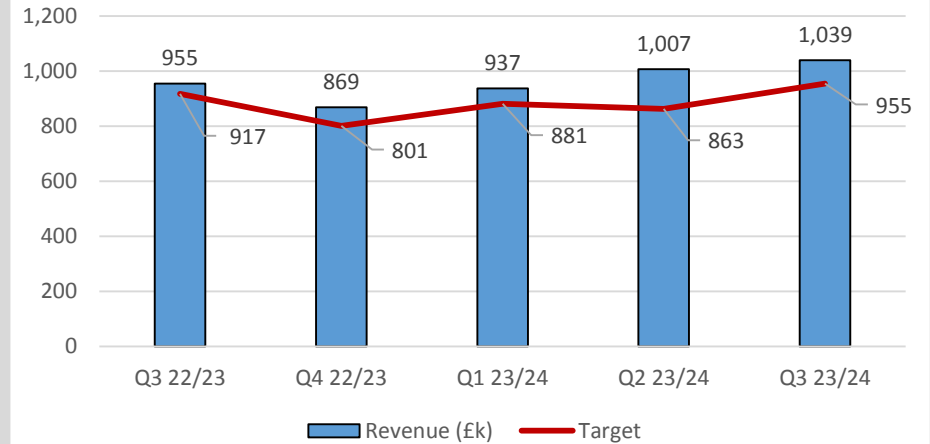
The private rented market is very challenging with rent levels well above LHA. People who are reliant on LHA to pay the rent are at risk of homelessness because of the gap between LHA and the actual rent. This gap has steadily increased over the years as the LHA remained static whilst rents have increased significantly. The second issue is that it makes it increasingly difficult for us as a local authority to help people into the private rented sector (PRS) and/or discharge our duty into the PRS as we can only do this if the accommodation is affordable.

Environment Committee

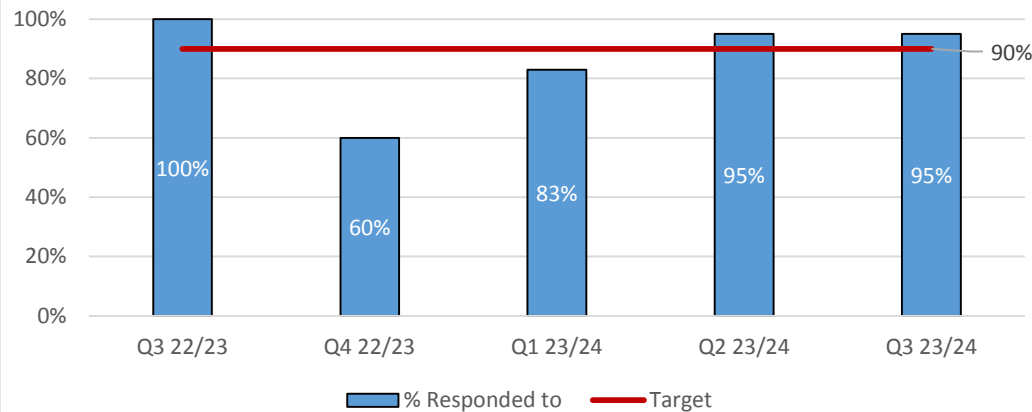
Car Park Visitor Numbers



Car Park Revenue (£k)



Parking Penalty Charge Notices Responded to in 10 Working Days



Commentary

Car park visitors

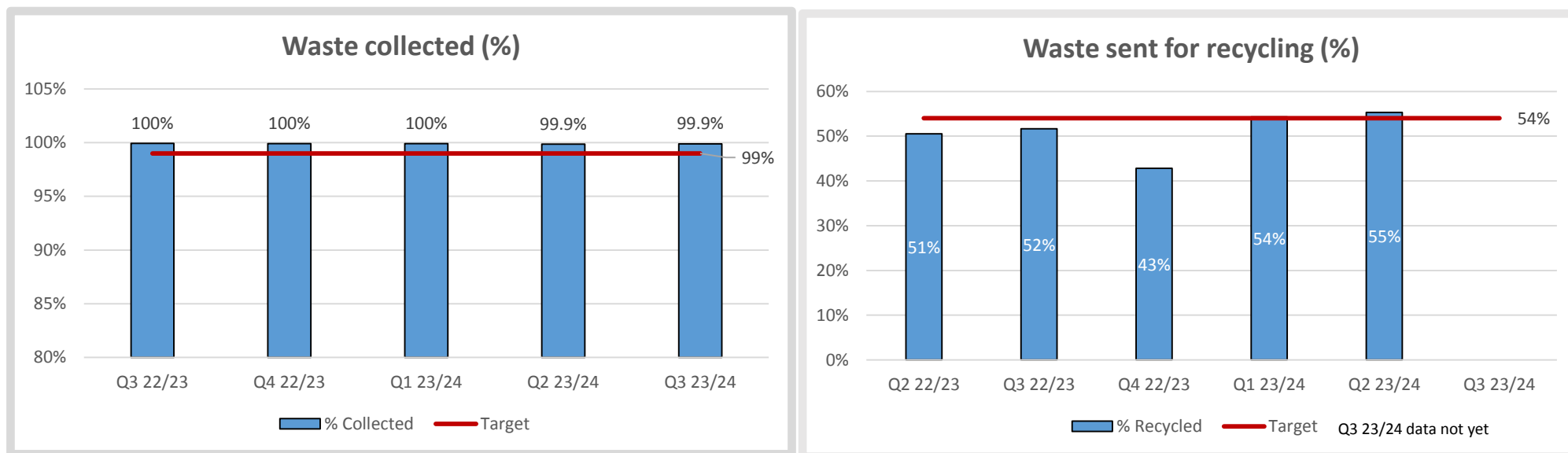
Q3 has been the busiest quarter to date in the car parks this year although overall pay to park visitor numbers have reduced in comparison 2022/23.

Car Park Revenue

Revenue has continued to increase in 2023/24 with Q3 generating the highest revenue from paying to park visitors.

PCN appeals response time.

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



Commentary

Recycling rate

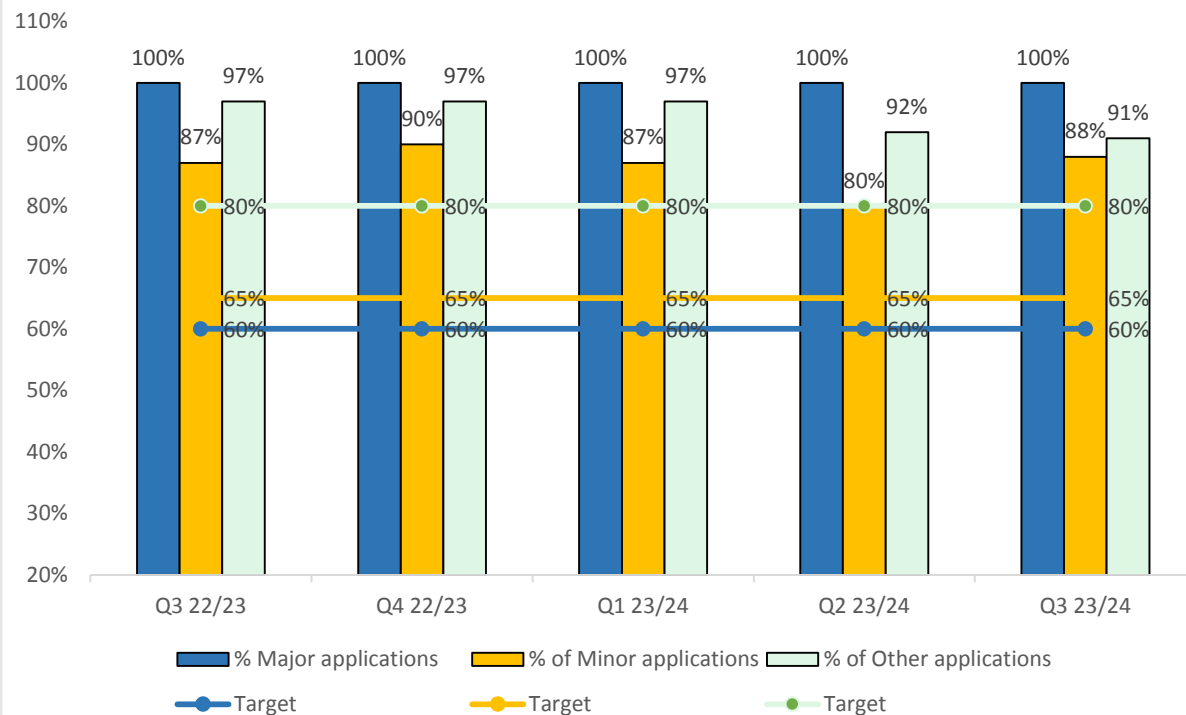
Working with the Surrey Environment Partnership on an ongoing project at flats across the Borough to increase the number of flats that have food waste recycling and reduce contamination of dry mixed recycling is showing positive impact. Further work on food waste is scheduled for May this year.

Waste collection.

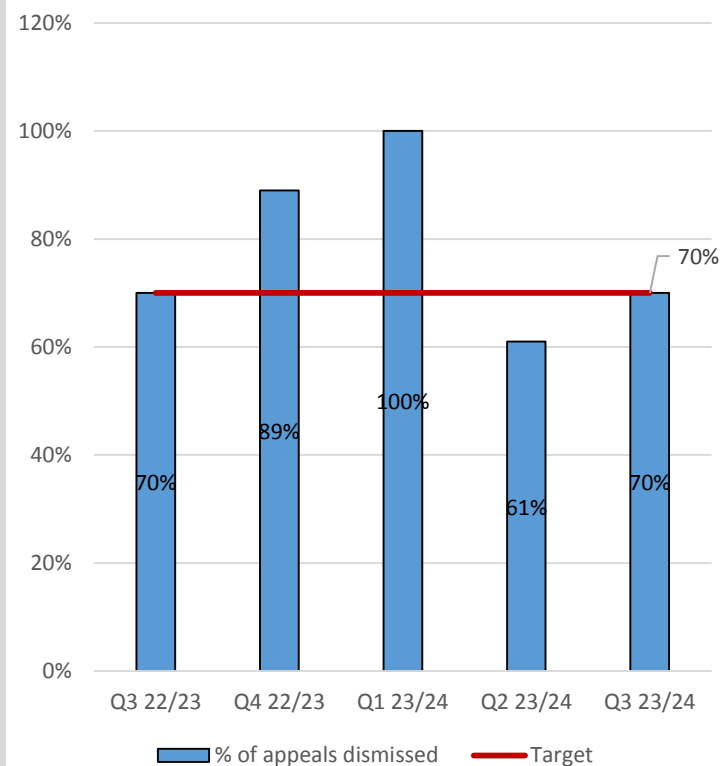
Collections in Q3 were impacted by the effects of two garden waste suspensions on 30/11 and 1/12 but still remain above target.

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.

Appeals dismissed.

Average trend remains strong and was on target for Q3.

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 <i>Multiplier</i>	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
		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...</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
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. 	Strategic Housing manager	4	4	16	<ul style="list-style-type: none"> * 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. * New staff in post, focusing on single homeless and homeless households. * Housing First funding for two new units of accommodation. * Additional government funding for homeless for 2023-2025, 	4	4	16	No change	<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. Further report will be prepared for March C&W Committee. * As year-end approaches, the opportunity of decreasing costs of the annual budget reduces. * Business process review of Housing. * Microhomes proposal being developed.

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. 	3	4	12	Improved	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. Reg 19 on target to be taken to LPPC in Nov 24.
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. * Reputational damage * A range of sanctions from Information Commissioner's Office (ICO), including prosecution and unlimited fines. 	Data Protection Officer	4	4	16	<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. * Internal audit review planned Q4 2023/4. * Information Governance Group in place. * Data sharing agreement register established. 	3	4	12	Worsened	<ul style="list-style-type: none"> * Currently reviewing DPO resource requirements. * Project on data migration (and cleansing) to SharePoint underway.

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 risk consolidates related IT divisional / Service risks. 	3	4	12	No change	<ul style="list-style-type: none"> * New Head of IT due to join at end of March 2024. * Complete implementation of IT Strategy in full. * Complete programme of robust management of IT Strategy implementation inc. regular reviews to track progress and effectiveness.
HC5 <> C&W	Governance	Non-compliance with safeguarding legislation, internal policies, and best practice.	<ul style="list-style-type: none"> * Negative impact on resident and staff health & safety. * Legal challenge. * Financial penalty. * Reputational damage. 	Head of Housing & Community	4	4	16	<ul style="list-style-type: none"> * Safeguarding Policy in place. * Environmental Health and Community Development teams share resources and knowledge. * Staff training plan developed. * Register of vulnerable residents in place. * New communications content to all staff. * Update safeguarding EHub pages. * Initiated internal safeguarding group. 	3	4	12	No change	<ul style="list-style-type: none"> * Adult Safeguarding audit undertaken and Child Safeguarding Audit (S11) due 2024 * Implement staff training plan. * Included compulsory safeguarding module for all staff. * Exploring additional resources funded by Refugee Funding which includes safeguarding activities.

PD1 <> E	Strategic	Failure to deliver the climate change strategy	<ul style="list-style-type: none"> * 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	<ul style="list-style-type: none"> * 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	
HR10 <> S&R	Operational	Vacancies in roles which have significant impact on service delivery and corporate leadership.	<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 governance and 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. 	3	3	9	No change	<ul style="list-style-type: none"> * Permanent appointment for Director of EHR, Head of IT and HoHR arranged, continuing interim arrangement for Director of Corporate Resources and Head of Place Development pending confirmation of permanent requirements. * Permanent arrangements now in place for S151 Officer role from 5/1/24. * Interim arrangement in place

													for Head of HR until permanent arrives in April 24.
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. * 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. * Discretionary service and asset reviews to be scheduled. * Ongoing programme of improvement to energy efficiency of council buildings (inc. reporting to councillors at committee). 	4	2	8	No change	* New MTFS for 24-28 to be produced.
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. 	Business Assurance Manager	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. 	2	3	6	No change	* Business Continuity audit [underway].

								<ul style="list-style-type: none"> * 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). 					
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 SLT. * 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 [awaiting update from HR]. * Review reporting on near misses. * Inclusion of H&S elements being discussed as part of new Performance Hub implementation.

4. 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
	Multiplier	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

Committee risks summary

Strategy and Resources Committee		
Ref.	Risk	Residual Score
EO13	Failing to achieve the project milestones for the move from the Town Hall to 70 East Street (NEW RISK)	12
PD21	Declining economic vitality in the Borough	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
PCR21	Retendering leisure contract	6
F10	Failure to deliver services within agreed budget envelope	4
DST10	Failing to respond to complaints effectively	4
EO8	Ineffective communications to key stakeholders	4
PR11	Potential loss of income / tenant relating to the East Street property (RETIRING RISK)	

Community and Wellbeing Committee		
Ref.	Risk	Residual Score
HC13	Inadequate budget for homelessness over medium-long term	12
HC6	Non-delivery of annual plan objectives, Housing & Community Service, due to response to refugee crisis	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

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
OS22	Increasing costs related to maintaining allotments	4
HC10	Significant decrease in parking revenue from car parks	2

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
EO13	Project	Failing to achieve the project milestones for the move from the Town Hall to 70 East Street * Wasted resources used to progress the project. * Reputational damage. * Negative staff moral. * Unable to achieve cost savings associated with the move.	Chief Executive	4	4	16	* Full Council decision made to move to 70 East St, based on briefing data and information.	3	4	12	NEW	* Project plan to be developed, as per Annual Plan 24/25 item.
PD21	Strategic	Declining economic vitality in the Borough * Lack of economic drive and contributions in the Borough. * Reduced opportunities for residents and businesses.	Head of Place Development	4	3	12	* 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.

HR11	Strategic	Lack of leadership and skills to deliver strategies and plans / lack of clear vision and objectives. * 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	* 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	* Permanent appointment for Director of EHR, Head of IT and HoHR, continuing interim arrangement for Director of Corporate Resources and Head of Place Development pending confirmation of permanent requirements. * Permanent arrangements now in place for S151 Officer role from 5/1/24. * Interim arrangement in place for Head of HR. * Leadership development programme in progress for CLT. * Management development programme subject to appointment of OD business partner
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PR3	Financial	Property portfolio fails to generate expected financial revenue due to loss of commercial tenant. * Significant loss of income. * Costs associated with replacing a tenant. * Budgetary pressures.	Head of Property & Regeneration	3	4	12	* 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 at committee - including options appraisals. * Close liaison with Head of Finance and Chief Accountant to monitor budgets.	2	4	8	No change	
PR11	Financial	Potential loss of income / tenant relating to the East Street property * Significant loss of income. * Costs associated with replacing a tenant. * Budgetary pressures.	Head of Property & Regeneration									<i>* Risk to be retired in light of Full Council decision in December 2023</i>

PCR21	Operational	Retendering leisure contract * 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	* Initial Feasibility Checklist signed off by SLT (30 Nov 23). * Early engagement with neighbouring local authority procurement services. * Monthly contract management and maintenance meetings in place with current leisure partner. * Procurement Strategy and CSOs. * Contingency time included, i.e. process started 18 months before contract award.	2	3	6	No change	* Specification for consultant tender has been drafted. It is currently being reviewed by Officers and a briefing note will be prepared for the Chair of C&W Committee. * Risk wording amended to reflect possible impacts. * Project plan to be signed off by Strategic Management team following agreement of Spec (re: consultant tender). * Plan to appoint specialist leisure consultants to run procurement (end-to-end) with a neighbouring local authority procurement partner.
F10	Financial	Failure to deliver services within agreed budget envelope (e.g. increase in operational costs, staffing, energy etc.) * Negative impact on council budget. * Service changes.	Head of Finance	3	3	9	* 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	Failing to respond to complaints effectively * 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	* 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	* Draft Joint Complaint and Handling Code from LG Social Care and Housing Ombudsman will become statutory guidance requiring Councils to adopt 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.
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EO8	Operational	<p>Ineffective communication to key stakeholders, such as: residents, businesses, Surrey County Council</p> <p>* Audiences and stakeholders are unaware of information and updates that are important and/or relevant to them</p> <p>* Negative impact on Council reputation if we are seen not to be communicating and engaging effectively with audiences</p>	Communications and Engagement Manager	3	3	9	<p>* The communications function has been extensively reviewed by the Communications & Engagement Manager and the team over the past year and a significant number of changes have been made.</p> <p>* A communications strategy has now been developed and approved by S&R Committee and is now in the process of being embedded. The Strategy provides a clear approach for the council's communications and sets out the priorities for the communications function from 2024-28.</p> <p>* The team's work has made the shift from reactive to more proactive and strategic communications</p> <p>* All communications channels have been, or are being, reviewed and improved to ensure they are reaching and engaging our audiences</p> <p>* The team runs a number of proactive communications campaigns each year which are directly related to corporate priorities. This is in addition to business-as-usual work which supports all areas of the organisation.</p> <p>* Protocols and processes have been developed to ensure that everyone in the organisation is accessing and utilising the comms team/function in the most impactful and efficient way. We now use a client-account</p>	2	2	4	No change	
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							manager system, with each service area having a specific comms representative who attends regular meetings and builds close relationships with the teams, to ensure involvement with projects at early stages and a deep understanding of what communications work needs to achieve.					
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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	Non-delivery of annual plan objectives, Housing and Community Service, due to our response to refugee crisis (Syrian, Afghan, Ukrainian). The Homes for Ukraine Scheme has just been extended for a further year. * Unable to deliver strategic objectives in the annual plan / Four Year Plan.	Community Development Manager	4	4	16	* Recruited a new community development worker. In addition, grant funding has been used to recruit a new refugee coordinator (temporary post). * Framework in place for monitoring the annual plan. * Working with partners to share the workload. * Epsom and Ewell Refugee Network recruited two posts to assist with Homes for Ukraine scheme.	4	3	12	No change	* Currently tolerating residual risk at present, as the team is working at full capacity and our response requires immediate attention. * Lack of capital resources to house refugees, including availability of local properties, which continues to pose a serious risk. * 'Thank you' payment to the hosts of Homes for Ukraine Scheme will now continue for another year.

HC13	Financial	Inadequate budget for homelessness over medium-long term * Unbudgeted expenditure. * Pressure on statutory service. * Need to source funding from outside current budget envelope.	Strategic Housing Manager	3	4	12	* 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 homelessness for 2023-2025.	4	3	12	No change	* Approved Homelessness and Rough Sleeping Strategy and Action Plan. * Microhomes planning application submitted and further sites considered. * 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	Lack of affordable housing in the Borough * Changes to Borough demographics. * Homelessness. * Provision for key workers.	Strategic Housing manager	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 - East Street scheme of 31 homes approved at planning Committee.

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"> * Café in Bourne Hall, launched in May 2023, which is generating good footfall and trade. * Additional project management resource recruited (2022-23). * 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"> * Business cases to generate additional income for the council are being prepared. * Established project groups for increasing commercialisation in parks. * Catering Hub developed to provide catering for events and building trade. * Media campaign to restart dementia hub for day care.
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. * Provided 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). * Continued funding to support key voluntary organisations. * Development of a Suicide Prevention Action Plan to Health Liaison Panel * Initiated staff training on suicide prevention.

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	Outcome of national waste strategy * Budget implications. * Service delivery implications. * Operational management implications. * Stakeholder management.	Transport & Waste Services (TWS) Manager	4	3	12	* National waste strategy is being constantly monitored by both Transport & Waste Services Manager and Surrey Environment Partnership. * Extended Producer Responsibility (EPR) recently delayed to October 2025 (was 1/4/24). * Consistency of Collections ('Consistency') was delayed until 10/2025 but is now replaced by Simpler Recycling. Much lower impact on councils, and removal of threats for (a) wholesale changes to collections style, and (b) significant reductions in garden waste subscription prices. * Deposit Return Scheme (DRS) still delayed until 10/2025. * New consultation on recycling of waste electricals launched 28/12/23 (responses by 7/3/24). The Council will be responding, as will SEP.	4	3	12	No change	* Until further announcements on EPR and DRS are made, and the schemes 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. * Government has recently started the process of disbursing funds to councils to assist with increased food recycling at flats that is required under the new Simpler Recycling strategy. We have no information on the basis on which that has been calculated.

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>* Transport & Waste Services manager presented to Member Climate Change Group 11/2022 and SMT 01/2023 highlighting the significant cost and resource issues we face in replacing the current vehicle fleet with eco alternatives.</p> <p>* Transport & Waste Services Manager is on SEP working group on green fleet options: group also presented to Env Cttee Chair & Vice Chair 12/2023 in same vein as internal EEBC presentations.</p> <p>* Overall, there is no change to our overall status with regard to electrifying the fleet which remains currently financially unviable.</p> <p>* However, we have recently won SCC grant funding for 3 x electric Meals-at-Home vehicles to replace current diesel vans. Arrangements in progress, delivery expected no earlier than beginning of 03/2024.</p>	4	3	12	No change	<p>* The Council has no realistic prospect of introducing electric vehicles as a general principle without the identification of appropriate funds to accommodate their high price and requirement for charging infrastructure, and without management resources to recognise the challenges of fleet electrification.</p> <p>* SEP working group has identified general opportunities for use of greener fuel as an interim measure, but these are unlikely to be suitable for EEBC, which has no fuel bunkering capacity.</p>
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PD22	Financial	Increased costs associated with the new Tree Management Plan (e.g. maintenance) * Budgetary pressures. * Public health and safety. * Increased tree planting leads to increased ongoing maintenance costs. * Reputational damage.	Head of Place Development	4	3	12	* Financial due diligence undertaken. * Budget requirements are regularly monitored. * 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	* New Policy and fees and charges approved for third party tree planting requests to cover council's costs. We are following a risk-based approach, trees are managed within the tree maintenance contract which focuses on highest risk trees as a priority. If more high priority trees require work than accounted for, then these are dealt with on a case by case funding request.
OS22	Operational	Increasing costs related to maintaining allotments. * Increased budgetary pressures. * Fall in 'quality' of allotments. * Impact on users' health and wellbeing. * Reputational damage.	Streetcare Manager	3	3	9	* Allotment Working Group set up. * Annual budget setting process. * MTFS.	2	2	4	No change	* 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. * Allotment Forum meeting which will be attended by Chair of Allotment WG, planned for end of February.

HC10	Financial	Significant decrease in parking revenue from car parks * Increased budgetary pressures.	Parking & Enforcement Manager	3	4	12	* 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.	1	2	2	Improved	* Year to date (December) - car park income is slightly above the same period last year, although visitor numbers were slightly down. * 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 has recommended to Committee changes to car parking fees for next year.

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	Unable to meet costs of essential tree maintenance. <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	<ul style="list-style-type: none"> * Essential tree maintenance is currently adequately covered. However there is the possibility that unplanned work is needed, which is addressed on a risk and case by case basis.

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	No change	* Tolerating the residual risk as there are no further mitigations and we are working to the new schedule.
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	No change	

PD19	Strategic	Macro-economic factors (inc. lack of development) lead to reduced planning income e.g. related to planning applications and CIL fees. * 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	* 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	No change	* Report taken to LPPC in Dec 2023 re setting appropriate budget targets. Reduced and more realistic planning fee income now within base budget.
PD3	Operational	Decline in development management performance i.e. threat of designation. * Poor customer service. * Legal / governmental challenge. * Reputational damage. * Staff dissatisfaction.	Planning Development & Enforcement Manager	3	4	12	DM Programme Review.	2	4	8	No change	
PD27	Strategic	The spatial strategy site selection cannot be agreed at Full Council. * 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	* Briefing sessions with all councillors arranged as promptly as possible. * 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	No change	

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> <p>* Fail to meet the July 2025 deadline.</p> <p>* Additional costs are incurred despite not being able to meet the deadline.</p> <p>* Local Plan work may become paused again and the borough remains with an old out of date plan.</p>	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	No change	
PD6	Governance	<p>CIL Governance inadequate.</p> <p>* Lack of consistency re: CIL spending.</p> <p>* Fail to deliver value for money initiatives with CIL funds.</p> <p>* Unclear criteria/policy for CIL applicants.</p> <p>* Legal challenge.</p>	Planning Policy Manager	4	3	12	<p>* Formal governance now agreed.</p> <p>* CIL Officer in post.</p> <p>* Approval to spend goes to S&R.</p> <p>* CIL/S106 Business case.</p>	2	3	6	No change	
PD8	Operational	<p>Non-recovery of planning fees.</p> <p>* Reduced Council income.</p> <p>* Misalignment of resource costs and income generation.</p> <p>* Reputational damage.</p>	Planning Development & Enforcement Manager	4	3	12	<p>* Planning applications processing KPIs in place.</p> <p>* Budget monitoring in place.</p>	2	3	6	No change	

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	No change	
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	No change	
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	No change	
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	No change	
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	No change	

5. 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 the first progress update was provided in Quarter 2. The table below shows the update in Quarter 3.

Issues identified	Action to be undertaken	Update	RAG Status <i>Updated in Quarter 3</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 (MTFS) 2024-28. The budget and MTFS report was submitted to the full Council on 13 February 2024 for approval.	Blue
2.Community Infrastructure Levy (CIL)	Place Development – Review and update CIL policies and procedures (inc. Neighbourhood CIL) (31 December 2023)	A draft CIL Protocol was approved by the LPPC on 18 January 2024. Training is being scheduled for members in March 2024.	Amber
3.Development Management (DM)	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, we continue to submit our performance data to the Government quarterly. Several outstanding actions of the DM transformation project are being resolved by April 2024.	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 and the additional funding was also approved by the Strategy & Resources Committee on 12 December 2023.	Blue
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. It is on track to be completed by 31 March 2024.	Green
7.Health and Safety	All Services/ Policy & Corporate Resources - Continue to gather assurance on the effectiveness of Health and Safety (H&S) 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. Additional H&S training is being explored and a new e-learning module-managing H&S for managers will be launched soon.	Green
8.Human Resources	People & Organisational Development (OD) - Enhance the resilience of the People & Organisational Development Service by recruiting vacant posts and continuing with	In March 2023, the recruitment campaign of HR Business Partner was unsuccessful. This led to the re-advertising of the vacancy as a 12-month fixed-term OD Business Partner in Aug and Oct/Nov 2023 but no appointment. Recruitment of two	Amber

	multi-role training for new team members. (31 March 2024)	permanent OD Business Partners was underway in Jan/Feb 2024. The interim Head of HR was appointed in January 2024. An HR Apprentice was appointed in Sept 2023.	
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.	Amber
10.IT Strategy	IT- Approval of IT Strategy with associated funding and implementation plan. (30 September 2023)	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.	Blue
11.IT policies	IT- Review and update IT policies as necessary (31 March 2024)	A new Head of IT has been appointed to join in March 2024. Whilst the IT policies are being reviewed, this work may not be completed by end of March 2024.	Red
12.Information governance	Corporate Services - Establish officer information governance scrutiny and oversight group (30 September 2023)	This is still work in progress – the first meeting should take place before end of February 2024.	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

