

**Strategy and Resources Risk Register**

Committee Ref	Risk title	Risk consequences	Risk owner	Inherent risk assessment (initial risk score without mitigating actions)			Existing measures in place (mitigating actions)	Residual risk assessment (risk score after mitigating actions)			Measures to be Taken	Risk Category	On corporate risk register	Date risk raised/last updated.
				Likelihood	Impact	Risk Score		Likelihood	Impact	Risk Score				
<i>Committee the risk relates to and ref number eg SR1.</i>	<i>What is the risk? Give a title for the risk which makes it easy to understand. Which corporate plan priority or objective does the risk relate to?</i>	<i>What will happen if no measures are put in place? What has or may go wrong?</i>	<i>To show ownership of the risk at a high level.</i>	<i>Analysis of the potential risk and likelihood it will occur or if it has actually occurred.</i>	<i>Assess the potential impact it could have or is having.</i>	<i>What is the likelihood x impact score? Check risk matrix.</i>	<i>When the risk was raised, what measures were identified to minimise the risk? What's already in place to stop the risk occurring, or to reduce the risk?</i>	<i>Analysis of the potential risk and likelihood to occur or if it has actually occurred.</i>	<i>Assess the potential impact it could have, or is having.</i>	<i>What is the likelihood x impact score? Check risk matrix.</i>	<i>What other actions need to be taken to further reduce or respond to the identified risk? What else will stop the risk arising, mitigate or minimise its impact or reduce the likelihood. Detail measures to be taken.</i>	<i>How is the risk going to be dealt with? Select Treat, Tolerate, Terminate or Transfer. (see strategy)</i>	<i>Yes/No</i>	<i>The date the risk was identified and the date it was last reviewed.</i>
SR1	Ensure the Council makes the savings identified in the Medium Term Financial Strategy and delivers a balanced outturn for 2024/2025.	Negative impact on the Council's budget.  Council exhausts reserves to balance the budget.  Reduced capacity for service delivery / reduced resources.  Ultimately, a section 114 notice required to be issued by Director of Resources leading to cessation of non-essential spend and essential service provision at minimal level.  Reputational damage.	Director of Resources & S151 Mark Hak-Sanders	3	5	15	Savings are managed through the Future Tandridge Programme Governance, of which the Chief Executive is Senior Reporting Officer. Savings are also included in regular financial monitoring. Actions in place: - Robust budget monitoring and if appropriate, corrective action to ensure spending in line with the budget. - Regular Programme and Benefits Delivery Board meetings of EMT chaired by the CFO. - Weekly EMT or MT meeting as escalation point. - Programme Team provides oversight on delivery including action tracking and risk register updates. - Specific governance arrangements for key savings areas. - Named owners for all savings and risks. - Fully allocated savings plan for 2023/24 and 2024/25. - Increased contingency held in the budget. - Detailed savings plan approved for 2024/25. - Arrangements rated as offering substantial assurance in 2022/23 and 2023/24 internal audits. - The impact score has reduced because the 2024/25 savings plan (£0.6m) carries less risk than the 2023/24 savings plan (£1.7m). Forecast to deliver 96% of its 2024/25 savings target with a small budget surplus. - Detailed planning under way for 2025/26 and a 4-year MTFS.	2	3	6	Continue effective governance, tracking and delivery.	Tolerate	Yes	Last updated 11/09/2024
SR2	Procedures are in place to make sure housing benefits are processed on time and within set deadlines.	Failure of statutory duty.  Reduced / delayed support to recipients.  Reputational damage.  Reduction in administration grant fund.	Director of Resources & S151 Mark Hak-Sanders	5	3	15	Established revenues and benefits system in place, with appropriate oversight and risk management. Established working protocols. Revenues and Benefits team restructure with clear role profiles. Team resourcing closely monitored and issues reported. Performance monitoring in place.	3	3	9	Joint working with neighbouring authorities being developed. Performance reports produced regularly.	Treat	No	Last updated 11/09/2024
SR3	Ensure there are clear processes to collect revenue income (council tax, business rates, rental) in line with our targets, as well as to recover debt.	Failure of statutory duty. Reduced cash flow and impact on budget.	Director of Resources & S151 Mark Hak-Sanders	3	4	12	Established working protocols. Team resourcing closely monitored and issues reported to Extended Management Team. Performance monitoring in place. Project in place to improve recovery rates. Collaborative working with other Surrey authorities.	1	4	4	Review whether debt recovery investment can continue based on the outturn surplus for 2023/2024, and seek Committee approval if necessary.	Treat	No	Last updated 11/09/2024

SR4	Ensure there are processes and plans in place to ensure we can meet rental income targets.	Increased risk of tenants (private and public) struggling to meet rental obligations. Reduced cash flow and impact on budget. Continued economic uncertainty creating increase in interest rates and inflationary pressures such as energy, workforce costs, supply chain pressures and invasion of Ukraine. Changes in ways of doing business, such as online shopping and increased potential of working from home – less office space needed. Increased vacancies following expiring contracts / insolvencies.	Director of Resources & S151 Mark Hak-Sanders	4	3	12	Close contact with tenants and clear understanding of their cashflow issues. Offering short-term rent free periods and deferred payment schemes for previously strong tenants. Proactive, rational and flexible approach to rents negotiations. Proactively seek new lettings and maximising income from existing assets. Good understanding of the local property market and national movement across all sectors. Positive relationship with private tenants. Proactive relationship with council tenants around debt. Proactive engagement with all tenants identified to be at risk (factors include covenant deterioration, payment history and business sector) Proactively seeking rent deposits and/or guarantors where possible for new lettings	3	3	9	Mitigations are ongoing.	Tolerate	Yes	Last updated 11/09/2024
SR5	Ensure there are systems, procedures and policies in place to protect against cybersecurity attacks.	Data breach. Impact on delivery of services Reputational damage.	Director of Resources & S151 Mark Hak-Sanders	5	4	20	Cyber Essentials certification in place. - Access to systems and data strictly controlled and data held securely to ensure it is only available as permitted and not at risk of loss or compromise Regular testing of the ICT security perimeter (firewalls), monitoring for new vulnerabilities of systems and a cycle of ensuring all system versions are up to date is in place. - Regular patching cycle of server and desktop infrastructure and also monthly review of security systems (Proxy server, firewalls, switches, backup software, HCl software) Council information governance, which includes cyber security elements, is reviewed quarterly and formally assessed annually. Information governance Board in place. The IT Acceptable Use Policy (AUP) updated with relevant guidance and information on cyber security risks. Scheduled cyber security test exercises. IT staff undertake courses and webinars to keep abreast of emerging trends in cyber security.	2	4	8	This is a risk we tolerate because even with the most robust measures it is impossible to fully mitigate against an attack.  The team is working with DLUHC to review all procedures and has received funding to support the work.	Tolerate	Yes	Last updated 11/09/2024
SR6	Ensure a robust disaster recovery solution is in place.	Inability to recover IT services if a potential disaster occurred, severely impacting delivery of most Council business  Recovery of IT systems ineffective. Data loss.	Director of Resources & S151 Mark Hak-Sanders	3	4	12	Ongoing journey towards cloud based IT systems Laptops for all staff which enables a work from anywhere environment. A disaster recovery system and process is in place. PSN compliance has been achieved.	1	4	4	Continue to refine disaster recovery documentation for each service.	Tolerate	No	Last updated 11/09/2024
SR7	Make sure the UKSPF projects are delivered within the agreed timescales, meeting the priorities set out in the delivery plan.	Priorities not delivered, grant needing to be returned to government, reputational damage and lost potential for infrastructure investment.	Director of Resources & S151 Mark Hak-Sanders	3	3	9	Coast to Capital commissioned to help develop our approach in line with expected governance.  Action plan drawn up and agreed by Community Services.  Actions starting to be being delivered. Funding has been allocated in full to projects in the September committee cycle.	2	3	6	TDC lead is currently interim adding to this risk.  Members of the working group have been nominated.	Tolerate	No	Last updated 11/09/2024
SR8	Progress One Public Estate (OPE) within the agreed timescales to assess the potential for key sites and deliver a clear plan.	Priorities not delivered, grant needing to be returned to government, reputational damage and lost potential for infrastructure investment.	Director of Resources & S151 Mark Hak-Sanders	3	3	9	Ongoing discussions with Surrey County Council /OPE and partners on expected outcome.  Meetings with funding body to be clear on expectations.  Tender issued.  Contract in place and project under way.	2	3	6	The contract has now been awarded and the project is underway. Regular updates with councillors and the S151 officer are taking place.	Tolerate	No	Last updated 11/09/2024

SR9	Deliver the climate change strategy and action plan within agreed timescales to work towards net zero.	Delays to reducing operational carbon emissions in line with the 2030 ambition. Negative impact on reputation - Increased likelihood of flooding impacting properties Extreme weather (heat and cold) impacting vulnerable residents Extreme weather having a greater impact on the day to day delivery of services Detrimental impact on the local environment	Head of Policy and Communications Giuseppina Valenza	4	4	16	Work underway to co-ordinate and drive forward climate change mitigation activities.  Cross party councillor working party set up to drive work forward and agree priorities.  Internal officer group meets regularly to discuss and to co-ordinate activity.  Officers involved in various county wide working groups to maintain knowledge and awareness of current activities.  EV charging project agreed and has financial and legal sign off. Contract to be signed.  Well rehearsed plans to manage severe weather impact in place.	3	3	9	A new Climate Change Strategy and action plan is being put forward to Strategy and Resources for approval in September 2024. This provides a clear programme of activity for the Council and sets out the areas the Council has less ability to influence, as well as the key areas of risk such as housing decarbonisation.  The strategy also proposes a change to the net zero target date to align it with the government's date.  Agree to tolerate residual risk as the Council's ability to influence all emissions is limited.	Tolerate	Yes	Last updated 03/09/2024
SR10	Ensure the Council has a workforce with the right skills and capacity to deliver its services.	If the organisation does not have capacity to deliver services this has implications for statutory services and could lead to service failure. Capacity problems increase turnover and absence and adversely affect wellbeing and productivity levels. Creates impact on service levels and increasing financial cost to the Council. Issues with significant gap between demands on employees and what they can realistically deliver. This can impact: • Ability to recruit and retain talented staff • Effective prioritisation of key workstreams • Ability to respond to additional priorities • Managing public expectations of service delivery	Director of Resources Mark Hak-Sanders	4	3	12	Efficient and effective recruitment and retention processes with targeted HR support and advice provided to hiring managers in place.  Actions being embedded: Annual service and budget planning process aligned with the capacity of the organisation. Review of recruitment process. Use of skills matrix to identify gaps. Employing apprentices to grow own talent. Training and development of middle managers. Wider cultural change programme underway	3	3	9	Future Tandridge Programme has reduced the size of some teams, which has an impact on capacity.  Digital project will impact all staff and require support and engagement from all teams if it is to be successful.  It has been difficult to recruit a Human Resources Organisational Development specialist, whose focus would be to lead, drive and deliver the actions detailed. The Council is working with Reigate and Banstead to understand how resource can be provided. Some actions are being delivered, for example there are internal working groups reviewing recruitment. Training and development is being offered to middle managers.  While recruitment is underway to various posts, until those posts are filled	Treat	Yes	Last updated 01/06/2024
SR11	Ensure robust Data Protection / Information Governance policies and procedures are in place.	Need to make sure personal data is secure and an individual's right to privacy is protected. If we fail to effectively act on and embed standards and procedures that enable us to do this, this could lead to distress and harm for data subjects as well as a loss of public trust and financial penalties to the organisation. This risk is informed by a number of issues, including: • Potential data protection breaches, misuse of private information, breaches of European Convention of Human Rights (Article 8) and breaches of confidence enabling access to confidential data • Loss of data, including as a result of malicious cyber security attacks	Head of Legal Lidia Harrison	2	1	3	Data Protection Policy in place and regularly updated - Data Protection training and updates for new and existing staff - Councillor training on responsibilities under appropriate Code of Conduct for new and existing Members - Record of Processing Activities (ROPA) in place - Records Retention Policy in place and implemented - Data sharing protocols in place and implemented - Data Protection procedures in place to for all new projects and processes - Software systems evaluated for GDPR compliance - Policy in place for compliant use of email by staff/councillors and document management arrangements - Statutory Data Protection Officer and Deputy in place - Data security threats (eg through phishing) addressed in collaboration with the IT and Project Delivery Manager	2	1	3	Regular review and update of policies	Tolerate	No	Last updated 02/07/2024

SR12	Ensure health and safety policies and procedures meet legislative requirements and best practice, are kept up to date and all staff are trained and reminded of their responsibilities.	<p>Failing to have good Health and Safety arrangements in place, could lead to loss of service and / or preventable accidents to and ill health of staff, contractors, public or others.</p> <p>This risk is informed by a number of factors, including:</p> <ul style="list-style-type: none"> <li>• Compliance with Health and Safety at Work Act</li> <li>• Continuing to reduce the risk of COVID-19 transmission</li> <li>• Civil Duty</li> <li>• Moral and Public Duty</li> </ul>	Head of Environment Simon Mander	3	4	12	<p>Corporate Health and Safety Policy, arrangements and procedures in place</p> <ul style="list-style-type: none"> <li>- Regular reviews of health and safety arrangements by Health and Safety consultant</li> <li>- Health and Safety action plan in place</li> <li>- Employee induction includes focus on Health and Safety and all employees provided with Health and Safety Guidance with guidance. This includes effective communication and engagement with Staff Hub, Health and Safety Group, and use of external Health and Safety advice</li> <li>- Lone working procedure in place</li> <li>- Fire risk assessments in place for relevant Council properties</li> <li>- Arrangements with partner organisations/contractors to ensure appropriate Health and Safety requirements are in place</li> <li>- IOSH Health and Safety training undertaken.</li> </ul>	2	3	6	<p>Work to improve health and safety is ongoing.</p> <p>Options to provide a full time Health and Safety Officer are being considered and a budget has been identified to deliver this.</p>	Treat	Yes	Last updated 01/06/2024
SR13	Ensure the Future Tandridge Programme including Digital Transformation Programme has the right governance and plans in place to identify and deliver the agreed outcomes and savings.	<p>Failure to deliver staff and efficiency savings.</p> <p>Failure of the digital project to reduce direct contact from residents and businesses.</p>	Transformation and Programme Director Ricky Fuller	4	3	12	<p>FTP structured into workstreams with clear objectives and owners.</p> <p>Digital Transformation objectives and benefits included in a business case approved in June 2022.</p> <p>Work in progress to deliver the outcomes documented in the business case.</p> <p>Work started to review potential benefits of digital across the organisation and will result in a benefits realisation plan with timeline.</p> <p>Monthly highlight reports.</p> <p>Digital Programme Board set up.</p> <p>Savings have been clearly identified and are monitored regularly with owners (EMT). Digital Programme board meets regularly to monitor progress and resolve issues and agree mitigations for risks. A plan has now been shared and a further detailed plan will be created with resource details to enable resource planning across IT and other services.</p>	3	2	6	<p>Work continuing on the programme, with regular monitoring of workstreams, monthly highlight reports approved by sponsors.</p>	Treat	Yes	Last updated 11/09/2024

Planning Risk Register														
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P1	Lack of up-to-date adopted district wide local plan makes resisting inappropriate green belt applications more challenging.	<p>Financial cost to the Council in defending inappropriate planning applications at appeal.</p> <p>Additional pressures on Development Management and policy teams and ability to adequately resource.</p> <p>Additional costs associated with developing a new district wide plan.</p> <p>Potential delay in bringing forward new district wide plan as a result of government slowness in introducing changes to the planning system. Inability to benefit from the use of transitional arrangements for plan making as a result.</p>	Chief Planning Officer	4	4	16	<p><b>Action already taken:</b></p> <p>Interim Policy Statement for Housing Delivery in place and is successfully bringing forward a housing supply.</p> <p><b>Future actions:</b></p> <p>Develop strategy and work programmes to mitigate impacts of plan being found unsound.</p> <p>Prepare new Local Plan timetable and update evidence base.</p> <p>Retain existing evidence base on website and review to determine which can remain extant and relied on to inform future decision making and what needs updating.</p> <p>Prepare new evidence to support Development Management and policy functions and the preparation of a new Local Plan.</p> <p>Seek support, eg from PAS, to help ensure a robust approach to future plan-making that takes on board latest advice and experience elsewhere.</p>	3	4	12	Received Inspector's final report recommending non adoption of the Local Plan.	Treat	Yes	31-May-24
P2	Lack of five year housing land supply including gypsy and traveller land	<p>Financial cost to the Council in potentially having to defend inappropriate planning applications at appeal.</p> <p>Increase in pressure to identify and support sites to accommodate traveller and show people outside of plan making.</p>	Chief Planning Officer	4	4	16	<p>Call for sites, update Brownfield Register and HELAA.</p> <p>Updating of traveller need and supply evidence.</p> <p>Defend appeals.</p>	3	4	12	<p>Call for sites completed on 17 March and Brownfield Register updated.</p> <p>Prepare Interim Gypsy, Traveller and Travelling Show people position statement.</p>	Tolerate	Yes	31-May-24
P3	Lack of capacity in planning team, difficulty in recruiting permanent staff and issues with IT systems negatively impacts performance.	<p>Financial pressures due to use of interims.</p> <p>Inability to sustainably maintain desired policy work programme.</p> <p>Difficulty providing non-statutory services which are valued because of prioritisation of statutory services.</p>	Chief Planning Officer	4	4	16	<p>Review of recruitment practices and speeding them up.</p> <p>Reduce reliance on interim staff.</p> <p>Recruit apprentices.</p> <p>Review IT systems.</p>	3	4	12	<p>New round of recruitment for permanent staff.</p> <p>Hiring of junior planner(s) to support senior officers to free up time spent on more administrative tasks.</p> <p>Explore opportunities to share resources with neighbouring authorities.</p>	Tolerate	Yes	31-May-24
P4	Risk of the building control partnership dissolving		Taryn Pearson Rose Deputy Chief Executive	2	4	8	<p>Quarterly partnership board meetings.</p> <p>Planning leadership team meetings.</p> <p>Regular communications in place with relevant heads of service at partner authorities.</p> <p>Allocated Finance business partner.</p> <p>Performance monitoring in place (for Board and TDC).</p> <p>Partnership authorities completed review of inter-authority agreement in early 2024.</p>	1	2	3	<p>The risk of the partnership dissolving is mitigated by engaging with member authorities through a cycle of effective meetings where all parties understand the benefits of partnership working.</p> <p>Detailed KPIs, Risk Register, Business Plan and future direction of travel are all reported and debated through the partnership Board.</p>	Tolerate	No	

Housing Risk Register

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H1	Deliver the Council House Building Programme, by managing contractor performance issues, reducing planning delays and building in contingencies to resolve unplanned costs, availability of materials and issues with utility providers.	Inability to meet local housing need and increase in number of households living in unsatisfactory housing conditions.  Increase in homelessness and related costs. Failure to meet statutory homelessness duties.  Negative impact on resident wellbeing.  Negative publicity and reputational damage.	Housing Development Managers Nicola Cresswell / Carol Snowden  Nicola Cresswell	4	4	16	Active management of contracts via monthly contractor meetings. Day to day contact with the project team. Appointment of an Employers Agent to manage the contractor on behalf of the Council. Programme includes work to minimise inevitable delays resulting from manufacturing delays, material shortages, sub-contract labour being temporarily shut down. Use of alternative materials to overcome supply shortages, different designs and different finishes and use of materials that are readily obtainable. Early liaison with utility providers by the contractor and the use of mature approved drainage plans within contract documentation.  Maximising opportunities to release land for development by seeking sites from other public sector bodies, open market transactions and working with Asset Management to identify suitable land holdings.  Extension of the buy-back programme with a strategic focus to enable development as well as providing new homes.  New posts appointed to increase capacity in team.	3	4	12	Use of PPAs to speed up planning timescales  Initial conversations with MMC contractors which may be a more cost-efficient and quicker delivery option than traditional build  One acquisition completed on development land for approx 13 homes. One further land purchases for approx. 20 homes pending exchange of contracts.  Homes England funding to be sought wherever possible:  Bid applications for Windmill/Auckland submitted, Wolfs Wood & Bronzeoak to be submitted shortly.	Tolerate	Yes	27.08.24
H2	Loss of skilled staff to manage the Disabled Facilities Grant process and contract	Failure to deliver statutory services to residents and support those most in need. Potential for backlog of applications	Head of Housing James Devonshire	2	1	2	Recruitment is currently underway for a support officer to assist with the day to administration of this work. This will provide resilience to the team.	1	1	2	Recruitment process	Tolerate	No	21.08.24
H3	Disabled Facilities Grant Local Authority commissioning partner leaves the partnership	Failure to deliver service and meet statutory services.	Head of Housing James Devonshire	1	2	2	Officers have investigated two stage contracts as a possible option. Initial conversations with a MMC contractor and the CIC Building Better who facilitate procurement options and solutions for MMC, which may be a more cost-efficient option than traditional build	1	1	2	Financial assistance package approved by HC for the contractor at the Caterham on the Hill schemes. Schemes now progressing well and no current indications of cash flow problems.	Tolerate	No	21.08.24
H4	Disabled Facilities Grant Home Improvement Agency ceases trading	Failure to deliver service and meet statutory services.	Head of Housing James Devonshire	1	2	2	New contract commenced from April 2024. Sound contract management and communication will prevent any unknowns	1	1	2	Continue to ensure sound contract management	Tolerate	No	21.08.24
H5	Inability to deliver Grounds Maintenance on housing sites due to staff sickness and machinery breakdowns	Financial loss due to the inability to recover leasehold management expenses and tenants service charges for work not undertaken.  Potential need to reimburse residents for services not delivered.  Risk of reputational damage / negative press	Head of Housing / Head of Environment	4	4	16	Revised grass cutting schedule in place for cut and mulch rather than cut and collect. Cutting schedule moved forward to ensure more time to cut and increase the number of cuts per year. Less green waste generated and reduced need to leave site to dispose of green waste.	3	4	12	New SLA currently being designed with a new resourcing structure and performance management tools. This will start from November 2024.  Potential report to be presented to November Housing Committee	Tolerate	No	21.08.24
H6	Inability to procure compliance contracts due to lack of resource	Non compliant services.  Risk of overdue H&S contracts  Potential reputational damage	Property Services Manager / Head of Housing	4	5	20	Recruitment process currently underway for a Building Surveyor to procure and oversee compliance across the housing stock.  Temporary resource recruited to start procurement processes	3	5	15	Priority to be given to compliance related contracts including asbestos, legionella, electrical and fire  Electrical contract to be procured with ratification report presented to November Committee  Asbestos removal contract currently being procured but removal works being undertaken where required in accordance with Asbestos Management Plan  Legionella, Fire Risk Assessments and Lifts compliance work undertaken and fully compliant  Gas servicing contract until April 2025, procurement to commence shortly.  Development of the Asset Management system is now underway with one of several modules built	Treat	Yes	21.08.24

H7	Increase in damp and mould / disrepair claims against the Council	Potential financial risk due to compensation payments increasing.  Risk of reputational damage / negative press  Potential involvement from the Ombudsman and Regulator of Social Housing	Property Services Manager / Head of Housing	3	4	12	Recruitment process currently underway for a damp/ mould and disrepair surveyor  Seeking best practice from around the sector  Ensuring that reports of damp and mould are inspected and actioned in good time and to the tenants satisfaction	2	4	8	Recruitment of surveyor  Review peocesses in accordance with sector best practive and Regulator / Ombudsman guidance.  Interim surveyor now recruited who is actively inspecting, raising remedial works and post inspecting .	Treat	No	21.08.24
H8	Regulatory judgement of non health and safety compliance within housing stock	A breach of the Consumer Standards from the Regulator of Social Housing may result in a freeze on Homes England Funding.  This would result in schemes being financially unviable to complete.  Impact on building programme if increased self-funding is required from reserves / PWLB.	Head of Housing	4	5	20	Interim compliance officer recruited.  Asset Management Audit Plan being completed.  Asset Management system being developed.  Procurement of compliance contracts underway.	3	5	15	Officers allocated solely to compliance work.  Procurement complete of various compliance contracts.  New Asset Management system under development	Treat	Yes	21/08/2024

**Community Services Risk Register**

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CS1	Inability to carry out waste collection service in line with the performance management framework. Strike action becoming more common in the industry due to current economic climate	Waste left on the street. Environmental impact. Poor reputation for Council. No alternative for residents.	Head of Environment Simon Mander		3	4	12	A plan has been produced to prioritise the different types of waste collected to ensure any which may impact public health are collected first, if there is not enough staff, or other impact to the service.  Process in place for Biffa to provide updates when staff absent levels are likely to impact on service delivery.		3	3	9	Priority of collections has been reviewed and is still fit for purpose.  Officers are in regular contact with the Biffa contract manager regarding any staffing issues or any changes which may impact service delivery.	Treat	No	May-24
CS2	Loss of Goods Vehicle Operating Licence at the depot (due to lack of resilience).	Inability to carry out cess pool services impacting on public health. Reputational impact.	Head of Environment Simon Mander		3	5	15	Agency contacted to provide candidates to cover this role.  Discussions with Sevenoaks District Council and Reigate and Bansted Borough Council to see if their transport manager(s) can carry out the work. Unfortunately the enquiries were negative		2	4	12	An external company has carried out an audit and identified areas for improvement.  The interim Transport Manager has left the position. Recruitment for P/T TM has commenced.	Treat	Yes	May-24
CS3	Delays in monitoring council owned trees and impact of Ash dieback creates greater risk of tree falls	Risk to life if procedures are not followed.  Reputation of the Council if there are any injuries or fatalities.  Legal implications if Council does not meet statutory obligations under the Civil Contingencies act.  Financial implications due to damage to property / persons.	Head of Environment Simon Mander		4	4	16	A Tree Management Plan is in place which sets out the inspection regime according to high, medium, and low criteria depending on where the trees are situated.  There is a planned monitoring schedule for site inspections based on their risk score.  <b>Actions to take</b> The Council needs to produce woodland management plans and manage the ash dieback removal project.		3	4	12	The Council has struggled with the continuous employment of a Tree Officer, which has led to fewer inspections, resulting in a backlog of inspections. This has been challenging to catch up on.  Currently there are 22 high risk sites overdue their inspection. This is on hold due to the vacant Tree Officer role.  Work underway to commission woodland management consultants to produce the woodland management plan is on hold due to the vacant Tree Officer role.  New tree officer to commence mid July 2024	Treat	Yes	May-24



CS4	Assurance that a robust emergency and business continuity plan is in place to respond to a major incident.	Reputation of the Council. Legal implications if the Council don't meet statutory obligations under the Civil Contingencies act. Risk to life if procedures are not followed.	Head of Communities Julie Porter	2	4	8	Emergency plans are updated and reviewed regularly. Testing of plans takes place annually and in partnership with other Local resilience Forum (LRF) members, Business Continuity plans reviewed annually and updated where necessary The Council continues to engage with partners in Surrey by attending LRF meetings. Learning from partners assists with preparedness activities. Senior staff attend regular multi-agency briefings and training.	2	4	8	Partnership working with Surrey CC to assist with training and exercises. BC exercise carried out in March 2023 with EMT and July 2023 with Key Officer Forum. Rest Centre training has been carried out with new officers to increase the number of staff and volunteers trained and we will look to carry out a rest centre exercise in 25/26 at a Community Centre in the District. Most service areas have completed their new business impact analysis and are working towards new service area plans for September 24	Treat	No	02/08/2024
CS5	Work with Freedom Leisure to support the delivery of leisure services at the Village Health and Tandridge Leisure Pool.	Loss of leisure facilities in the district and impact on residents' wellbeing Financial implications as two sites are owned by the Council. Negative impact in Partnership working with Health and Community stakeholders. Swimming Pool Support Fund grant would need to be paid back to Sports England.	Head of Communities Julie Porter	2	4	9	A review of the current contract and financial position was carried out by an independent consultant. The findings were presented at the Community Services Committee in June 2023. The report concluded that although the cost of energy crisis had put pressure on FL finances, their cost savings had been effective and that following a successful bid via Sports England a Grant was awarded for the Swimming Pool support fund. Regular quarterly meetings are now held with FL Leadership team as well as monthly operational meetings with FL area Manager. Monthly financial and participation data is required to be uploaded onto the Sports England Moving Communities platform in line with the Grant funding agreement. This is monitored by the Head of Communities. A Leisure Strategy is being scoped working with specialist consultants to review all Leisure opportunities in the District.	2	4	8	A condition survey is to be arranged on the assets. A leisure strategy is to be drafted in consultation with the Community services committee	Treat	Yes	2.8.24
CS6	Ensure statutory requirements are met under the Anti-social behaviour, Crime and Policing Act 2014, to limit the impact on victims and communities.	Risk to life if partners don't report effectively. Reputational if policies and procedures are not followed. Financial cost of legal work to evict tenants if early intervention not taken	Head of Communities Julie Porter	2	4	8	Staff and Members have attended ASB training from the Head of ASB at Surrey Police. A project to review policies and procedures was launched in 2022 and will continue over the next financial year to ensure that the Council has robust procedures and reporting processes to meet statutory requirements. An ASB Officer role has been recruited to and is due to start in September 24.	2	4	8	Monthly project highlight reports are presented to EMT on the progress of the project. IT requirements for reporting have been scoped and will be incorporated as part of the digital project. A draft ASB policy has been developed and has been reviewed by an independent specialist. This will be shared with Councillors later in 2024	Treat	No	2.8.24
CS7	Ensure safeguarding policies and procedures are in place and kept up to date and all staff are trained and reminded of their responsibilities.	Failure to fulfil responsibilities in relation to safeguarding could lead to significant harm or death of a child or vulnerable adult and the potential ensuing legal action and reputational damage for the authority. All employees must be aware of the organisation's responsibilities in relation to safeguarding children and vulnerable adults. This means being able to identify signs of concern and knowing when to share information and to report those. Appropriate response needs to be in place in the event of a Domestic Homicide Review or involvement in a Child Safeguarding Practice Review or a Safeguarding Adults Review.	Head of Communities Julie Porter	2	5	10	Policies and procedures for safeguarding in place and reviewed as appropriate - on-line referral forms in place for single point of access (CSPA) and for multi-agency safeguarding hub (MASH) to track and follow up on concerns raised - all employees undertake awareness training for safeguarding and part of new employees induction and training undertaken annually - Enhanced level safeguarding training undertaken by relevant staff as identified according to their responsibilities - Annual undertaking of S11 audit from Children's safeguarding Board - Participation in audits of adult safeguarding when requested by Surrey County Council - Representation on the Surrey adult safeguarding Board, the Children's Partnership Executive Group and the Surrey wide safeguarding Children's Business Group DBS checks carried out for all new staff Procedures in place for conducting Domestic Homicide reviews	2	5	10	Added to risk register following audit review. Adult Safeguarding Board Self assessment was completed in Sept 23 and awaits feedback from Surrey Adult safeguarding Board. . New Children's Safeguarding S11 audit submitted in July 2024. . All cases reported to the council are reviewed at the quarterly Safeguarding leads meeting. A Modern Day Slavery Statement has been Published on the TDC website. Safeguarding checklist are now included in the Annual appraisals	Treat	No	Aug-24

Impact						
Likelihood		Minimal	Minor	Moderate	Significant	Major
		1	2	3	4	5
Will occur	5	5	10	15	20	25
Likely to Occur	4	4	8	12	16	20
Could Occur	3	3	6	9	12	15
Fairly Unlikely	2	2	4	6	8	10
Unlikely	1	1	2	3	4	5

#### Risk Score

High	15-25	Unacceptable level of risk exposure that requires constant active monitoring, and measures to be put in place to reduce risk exposure.
Medium	8--12	Acceptable level of risk exposure subject to regular active monitoring measures
Low	1--6	Acceptable level of risk exposure subject to regular passive monitoring measures

[Risk Management Strategy](#)