

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

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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

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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

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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.	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.  This risk is informed by a number of factors, including: • Compliance with Health and Safety at Work Act • Continuing to reduce the risk of COVID-19 transmission • Civil Duty • Moral and Public Duty	Head of Environment Simon Mander	3	4	12	Corporate Health and Safety Policy, arrangements and procedures in place - Regular reviews of health and safety arrangements by Health and Safety consultant - Health and Safety action plan in place - 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 - Lone working procedure in place - Fire risk assessments in place for relevant Council properties - Arrangements with partner organisations/contractors to ensure appropriate Health and Safety requirements are in place - IOSH Health and Safety training undertaken.	2	3	6	Work to improve health and safety is ongoing.  Options to provide a full time Health and Safety Officer are being considered and a budget has been identified to deliver this.	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.	Failure to deliver staff and efficiency savings. Failure of the digital project to reduce direct contact from residents and businesses.	Transformation and Programme Director Ricky Fuller	4	3	12	FTP structured into workstreams with clear objectives and owners. Digital Transformation objectives and benefits included in a business case approved in June 2022. Work in progress to deliver the outcomes documented in the business case. Work started to review potential benefits of digital across the organisation and will result in a benefits realisation plan with timeline. Monthly highlight reports. Digital Programme Board set up. 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.	3	2	6	Work continuing on the programme, with regular monitoring of workstreams, monthly highlight reports approved by sponsors.	Treat	Yes	Last updated 11/09/2024