

Appendix C Corporate Risk Register September 2024

Corporate Risk Register													
Committee Ref	Risk Title	Risk consequences	Risk owner	Inherent risk assessment (initial risk score without mitigating)			Existing measures in place (mitigating actions)	Residual risk assessment (risk score after mitigating actions)			Measures to be taken	Risk category	Date risk raised and date 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 any progress made in brief bullet points since the last update.</i>	<i>How is the risk going to be dealt with? Select Treat, Tolerate, Terminate or Transfer. (see strategy)</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	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	Last updated 01/06/2024

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	<p>Cyber Essentials certification in place.</p> <p>- 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</p> <p>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.</p> <p>- Regular patching cycle of server and desktop infrastructure and also monthly review of security systems (Proxy server, firewalls, switches, backup software, HCI software)</p> <p>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</p> <p>Scheduled cyber security test exercises. IT staff undertake courses and webinars to keep abreast of emerging trends in cyber security.</p>	2	4	8	<p>This is a risk we tolerate because even with the most robust measures it is impossible to fully mitigate against an attack.</p> <p>The team is working with DLUHC to review all procedures and has received funding to support the work.</p>	Tolerate	Sep-24
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	<p>Work underway to co-ordinate and drive forward climate change mitigation activities.</p> <p>Cross party councillor working party set up to drive work forward and agree priorities.</p> <p>Internal officer group meets regularly to discuss and to co-ordinate activity.</p> <p>Officers involved in various county wide working groups to maintain knowledge and awareness of current activities.</p> <p>EV charging project agreed and has financial and legal sign off. Contract to be signed.</p> <p>Well rehearsed plans to manage severe weather impact in place.</p>	3	3	9	<p>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.</p> <p>The strategy also proposes a change to the net zero target date to align it with the government's date.</p> <p>Agree to tolerate residual risk as the Council's ability to influence all emissions is limited.</p>	Tolerate	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	<p>Efficient and effective recruitment and retention processes with targeted HR support and advice provided to hiring managers in place.</p> <p>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</p>	3	3	9	<p>Future Tandridge Programme has reduced the size of some teams, which has an impact on capacity.</p> <p>Digital project will impact all staff and require support and engagement from all teams if it is to be successful.</p> <p>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.</p> <p>While recruitment is underway to various posts, until those posts are filled the likelihood rating remains high. Recruitment is difficult in some areas.</p>	Treat	Jun-24

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	Last updated 01/06/2024
SR13	Ensure the Future Tandridge Programme including Digital Transformation Programme has the right governance and plans in place to 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	11.9.24
P1	Lack of up-to-date adopted district wide local plan makes resisting inappropriate green belt applications more challenging.	Financial cost to the Council in defending inappropriate planning applications at appeal. Additional pressures on Development Management and policy teams and ability to adequately resource. Additional costs associated with developing a new district wide plan. 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.	Chief Planning Officer	4	4	16	Action already taken: Interim Policy Statement for Housing Delivery in place and is successfully bringing forward a housing supply. Future actions: Develop strategy and work programmes to mitigate impacts of plan being found unsound. Prepare new Local Plan timetable and update evidence base. 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. Prepare new evidence to support Development Management and policy functions and the preparation of a new Local Plan. Seek support, eg from PAS, to help ensure a robust approach to future plan-making that takes on board latest advice and experience elsewhere.	3	4	12	Received Inspector's final report recommending non adoption of the Local Plan.	Treat	Last updated 01/05/2024
P2	Lack of five year housing land supply including gypsy and traveller land	Financial cost to the Council in potentially having to defend inappropriate planning applications at appeal. Increase in pressure to identify and support sites to accommodate traveller and show people outside of plan making.	Chief Planning Officer	4	4	16	Call for sites, update Brownfield Register and HELAA. Updating of traveller need and supply evidence. Defend appeals.	3	4	12	Call for sites completed on 17 March and Brownfield Register updated. Prepare Interim Gypsy, Traveller and Travelling Show people position statement.	Tolerate	Last updated 01/05/2024

P3	Lack of capacity in planning team, difficulty in recruiting permanent staff and issues with IT systems negatively impacts performance.	Financial pressures due to use of interims. Inability to sustainably maintain desired policy work programme. Difficulty providing non-statutory services which are valued because of prioritisation of statutory services.	Chief Planning Officer	4	4	16	Review of recruitment practices and speeding them up. Reduce reliance on interim staff. Recruit apprentices. Review IT systems.	3	4	12	New round of recruitment for permanent staff. Hiring of junior planner(s) to support senior officers to free up time spent on more administrative tasks. Explore opportunities to share resources with neighbouring authorities.	Tolerate	Last updated 01/05/2024
H1	Council fails to deliver the target number of properties in the Council House Building Programme, due to poor performance of the contractor, planning delays, unplanned costs, availability of materials and 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	Last updated 28/08/2024
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 James Devonshire	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	Treat	Last updated 01/05/2024
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	Last updated 21/8/2024
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. Actions to take 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	Last updated 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
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