

APPENDIX C - Strategy and Resources Risk Register

Ref:	Risk cause and event	Risk consequences	Risk owner	Likelihood	Impact	RAG	Mitigating actions and responsibility	Status update	Included in Corporate Register
1	Inability of Council to make savings as identified in the Medium Term Financial Strategy and to balance the Council Budget in 2021/22 and 2022/23	<ul style="list-style-type: none"> * Council exhausts reserves to balance the budget. * Section 114 notice required to be issued by Chief Financial Officer leading to cessation of non-essential spend and essential service provision at minimal level * Reputational damage 	Section 151 Officer	4	5	20	<ul style="list-style-type: none"> * Savings trackers to be used to monitor savings delivery in 2021/22 (and reported monthly to the Executive Leadership Team and Members as part of the Finance Report). If savings reported are not achieved then the Service will have to find compensating savings from their budget. * We are ensuring appropriate use of government issued Covid-19 grants and ensure all COVID costs and income loss are accurately used and reported. * Reserves can be used to support the achievement of savings. However, we have built Reserves as part of the 21/22 budget setting process to provide us with resilience and flexibility over the medium-term where there is significant funding uncertainty. We are only getting to the point over the next year or so where we were at higher Reserves levels a number of years ago. We would look to prioritise those investments by using Reserves which provide a payback (in an invest to save approach). * Recruitment and overtime freeze has been put in place but will place pressure on already stretched teams. This is also supported by a HR/Finance Panel whereby the Chief Executive and Chief Finance Officer approve all new appointments (permanent and interim) and extensions. * Arbitrary cuts to budgets can be enforced but this is a blunt instrument and better done in a targeted way. 	* Balanced budget adopted by Council Feb 21.	YES
2	Increased demand on the Revenues Team collecting and recovering Council Tax due to increased financial hardship being experienced by significant numbers of Council Tax Payers	<ul style="list-style-type: none"> * Reduced cash flow. * Negative impact on budgets. * Increased recovery costs. * Increase in failed payments. * Risk of being able to pass on precepts. 	Case Services Manager	4	4	16	<ul style="list-style-type: none"> * Identified as critical service area. * Experienced staff retained on service delivery and not redirected to Covid-19 response. * Information, support and advice published on website. * Creation of council tax hardship fund. 	* Covid related risk - Customers being signposted to financial support agencies such as CAB and Parashoot. Additional resource moved to team to assist with grant payments. Monthly reports provided to SLT lead and finance.	
3	Commercial tenants and businesses unable to make payments to the Council, due to Covid-19.	<ul style="list-style-type: none"> * Reduced cash flow. * Negative impact on budgets. 	Executive Head of Communities	4	4	16	<ul style="list-style-type: none"> * Additional government funds available for business support. * Continue to keep close contact with tenants and understand their cashflow issues. * Consider offering short-term rent free periods and deferred payment schemes for previously strong tenants. * Consider the cost benefit of empty rate/refurbishment costs alongside rent considerations if tenants were to vacate. 	* Executive Head of Communities progressing options appraisal for improving commercial rent collection as part of corporate resources re-alignment.	YES
4	Increased demand on the Business & Income Team collecting and recovering Council Tenant Rent and Service Charges due to increased financial hardship being experienced by significant numbers of Council Tenants	<ul style="list-style-type: none"> * Reduced cash flow. * Negative impact on budgets. * Increased recovery costs. * Increase in failed payments. * Risk of being able to pass on precepts. 	Case Services Manager	4	4	16	<ul style="list-style-type: none"> * Identified as critical service area. * Experienced staff retained on service delivery and not redirected to Covid-19 response. * Information, support and advice published on website. 	* Signposting underway to financial support services such as CAB and Parashoot. Close monitoring of accounts and use of Discretionary Housing Payment scheme to support those most in need. HRA income review still underway and report to be presented to Housing Committee in 2021.	

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5	No ICT disaster recovery solution in place	<ul style="list-style-type: none"> * Inability to recover IT services if a potential disaster occurred, severely impacting delivery of most Council business * Recovery of IT systems ineffective. 	Head of Digital Business Transformation and Democratic Services	3	5	15	<ul style="list-style-type: none"> * Agree disaster recovery solution. * Procure secondary site equipment. * Close monitoring of progress by ELT. * Use of cloud based IT systems * Continuance of overnight back up tapes. 	<ul style="list-style-type: none"> * Disaster recovery solution agreed and procurement of secondary site equipment commenced. * The solution is approximately 6 months away from delivery, hence the risk remains red. Other actions associated with this risk are being progressed in tandem. 	YES
6	Significant increase in sickness absence levels amongst staff	<ul style="list-style-type: none"> * Impact on the ability to deliver BAU. * Impact on the ability to assist vulnerable residents. * Increased pressure on remaining staff. 	Executive Head of Corporate Resources	4	3	12	<ul style="list-style-type: none"> * Ongoing monitoring of sickness levels, which includes advising the Covid-19 response team of changes. * Encourage staff to work at home where possible. * Employee support schemes in place. 	<ul style="list-style-type: none"> * Mental health issues and Musculoskeletal conditions continue to be the most frequently cited reason for sickness absence. We continue to be mindful of the impact remote working and social isolation are having on the workforce currently and continue to offer support to all employees via the Mental Health First Aid scheme and Employee Assistance Programme. 	
7	Inadequate resource in emergency planning to deal with the increased demand	<ul style="list-style-type: none"> * Inability to support residents. * Increased demand on limited resource leading to sickness absence. 	Executive Head of Corporate Resources	4	3	12	<ul style="list-style-type: none"> * Review demand and available resourcing. 	<ul style="list-style-type: none"> * Emergency Planning and Community Safety realigned into the Customer Engagement and Partnerships Team to increase resilience. 	
8	Increase in unplanned expenditure	<ul style="list-style-type: none"> * Impact on Council's budget. * Need to cut resources and / or services. 	Section 151 Officer	4	3	12	<ul style="list-style-type: none"> * MHLG have advised s151 officers to approach them directly if there is a risk of a s114 notice. 	<ul style="list-style-type: none"> * Improvement to the budget monitoring and reporting process have meant a close eye has been kept on the financial position. Offsetting savings have been found to alleviate some of the adverse costs due to COVID-19. The Council has maintained close contact with MHLG and has been removed from the list of concerns. The Council's finances have strengthened over the second half of the year and we now expect to finish the year in an underspend position. 	
9	Inability of residents to contact the Council due to office being closed, IT issues and/or phone lines busy	<ul style="list-style-type: none"> * Negative impact on Council's reputation. * Poor social media and confidence in Council. * Residents' needs not being met. 	Head of Customer Engagement & Partnerships	4	3	12	<ul style="list-style-type: none"> * Closely monitor impact of increased call volumes from vulnerable residents and staff absence. * Regular review of social media to pick up concerns / complaints. * Various ways for people to access Council. * Customer Service Advisors working from home. * Council Offices open. 	<ul style="list-style-type: none"> * Information message updated on front end telephone lines to advise residents of alternative ways to contact the council. * Customer service emails acknowledged and responded to within 24 hours. * Staff will continue to work in bubbles when they return to office so that the full team are not in the office at the same time, therefore reducing the risk of transmission. 	
10	The Council's Business as Usual capacity is constrained due to lack of resources.	<ul style="list-style-type: none"> * Non-delivery and disruption of statutory and non-statutory services. * Increased staff absence levels and staff turnover. * Reduction in staff resilience. * Council suffers loss or temporary unavailability of key staff. 	Executive of Head of Corporate Resources	3	4	12	<ul style="list-style-type: none"> * Senior managers proactively support teams to prioritise actions. * Support for staff welfare in place (e.g. mental health first aiders). * Appropriate HR policies in place (e.g. flexible working). * Executive Leadership Team reviewing operating models to release capacity where possible. 	<ul style="list-style-type: none"> * New risk added to the register. 	YES
11	Replacement of the Revenues and Benefits back office software system	<ul style="list-style-type: none"> * Impact upon the collection of council tax and business rates. * Impact upon the administration and payment of housing benefit. * Reduced cashflow. * Risk of being able to pass on precepts. * Reputational risk to the Council. 	Head of Digital Business Transformation and Democratic Services	2	5	10	<ul style="list-style-type: none"> * Detailed project plan with timescales and milestones. * Weekly meetings between Northgate & project manager. * Progress reports to business leads. * Full engagement with the business. 	<ul style="list-style-type: none"> * The risk has been reviewed and no further actions are necessary at this time. 	

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12	Up to date safeguarding policies and procedures not applied	<ul style="list-style-type: none"> * Risk of harm to children and vulnerable people. * Failure of statutory duty. 	Executive Head of Corporate Resources	3	3	9	<ul style="list-style-type: none"> * Safeguarding project Approval to Start Form being submitted March 2021. * Mandatory online training module issued to all staff. * Safeguarding policies in place. * Safeguarding Officer in place. * Multi-agency safeguarding meetings in place. 	<ul style="list-style-type: none"> * Online training up-to-date and managed via HR training platform. Now planning to conduct a more detailed investigation and training needs assessment for frontline staff and review policies. 	YES
13	Lack of suitable low risk investment properties	<ul style="list-style-type: none"> * Reduced cash flow. * Negative impact on budget. * Loss of reputation to the Council. 	Executive Head of Communities	3	3	9	<ul style="list-style-type: none"> * Continue to keep close attention on market conditions. * Managing ongoing relationships with Investment Agents. 	<ul style="list-style-type: none"> * Continuing to watch the effects of Covid on future occupancy demand and activities in each market sector 	
14	Resources and capacity constrained due to ongoing Covid-19 response & recovery	<ul style="list-style-type: none"> * Impact on delivery of business as usual activities and COVID response support. * Council suffers loss or temporary unavailability of key staff. 	Executive Head of Corporate Resources	3	3	9	<ul style="list-style-type: none"> * COVID response team mobilising staff and partners to support as necessary. * Strategic co-ordination in place with the SLRF. * Local outbreak plan in place and continually monitored and updated. * Council Covid-19 project team in place. * Monitoring of staff absence levels in place. * Appropriate HR policies in place. 	<ul style="list-style-type: none"> * Risk reframed from previous focus on second lockdown, and new mitigation added. 	YES
15	Inability to deliver wellbeing prescription service in the current climate	<ul style="list-style-type: none"> * Not meeting CCG contract terms. * Inability to get future funding. * Inability to provide support for residents. 	Head of Customer Engagement & Partnerships	3	3	9	<ul style="list-style-type: none"> * Appointments offered as telephone / video consultations or can resume appointments once face to face at GP practice or at home is made available again. * Email communication offered to clients who decline telephone. * If staffing levels are impacted, client calls will be covered by any available Advisor/Management and prioritised based on need. * Proposal for future funding will be prepared remotely. * Quarterly reports will be published to the usual timescale. 	<ul style="list-style-type: none"> * Wellbeing Prescription continues to operate and fulfil appointments digitally. A return to face-to-face appointments is being monitored closely in-line with government and public health guidelines. 	
16	Increased demand on the Benefits Team processing claims for Housing Benefit, Council Tax Support and Discretionary Housing Payments.	<ul style="list-style-type: none"> * Failure to process new claims in target times. * Failure to action change events in target times. * Delays in the calculation, award and payment of benefits resulting in financial hardship for customers. * Increased homelessness if housing lost as a result of delays. 	Case Services Manager	3	3	9	<ul style="list-style-type: none"> * Identified as critical service area with appropriately knowledgeable and experienced staff retained on service delivery and not redirected to Covid-19 response. * Secondment of knowledgeable and experienced staff from elsewhere in the Council to support service area. 	<ul style="list-style-type: none"> * Weekly monitoring of caseload and performance. * Overtime currently being used to ensure work is completed within statutory time periods. 	
17	Inability to complete compliance checks due to social isolation and/or sickness absence	<ul style="list-style-type: none"> * Potential incidents. * Reputational risk to the Council. * Financial impact to the Council's budget. 	Executive Head of Communities	3	3	9	<ul style="list-style-type: none"> * Continue to carry out inspections and progress statutory functions where premises are safe to do so. 	<ul style="list-style-type: none"> * Continuing to carry out inspections within Covid regulations and where safe to do so 	
18	Staff accumulating excess annual leave due to inability / lack of desire to take leave in current environment	<ul style="list-style-type: none"> * Large number of staff requesting to take leave later in the year. * Negatively affecting productivity later in the year. 	Executive Head of Corporate Resources	4	2	8	<ul style="list-style-type: none"> * Communication to staff clarifying that leave still needs to be taken for welfare reasons and to avoid situation where high level of staff all want to use leave later in year. * Leave years are calculated on joining anniversary not calendar year so are staggered. 	<ul style="list-style-type: none"> * HR team have reviewed this risk and not identified any significant instances of accumulated annual leave. 	
19	Increase in mental health problems in staff	<ul style="list-style-type: none"> * Lack of productivity in staff. * Increase in sickness absence. 	Executive Head of Corporate Resources	4	2	8	<ul style="list-style-type: none"> * Sickness levels are being monitored daily and there is no significant increases to note currently. * Starting to see signs of trauma associated stress through dealing with vulnerable people and also distressing content of COVID response planning and cell meetings. Workplace trauma psychologist has delivered workshop to assist with handling the effects of this work. * Mental Health First Aider training to be progressed virtually in July 2020. 	<ul style="list-style-type: none"> * Employee support schemes are in place, including Mental Health First Aid and the Wellbeing Prescription Service. 	

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20	Inability to maintain high standards of delivery for statutory services	<ul style="list-style-type: none"> * Reputational impact. * Lack of confidence from Members. 	Acting Chief Executive	2	4	8	<ul style="list-style-type: none"> * Corporate Improvement Board in place. * Staff able to work from home and access all relevant information. * Processes and procedures in place. * Performance monitoring in place. 	* Performance indicators for key service areas are being reviewed as part of the March 2021 committee performance reports. The Corporate Improvement Board has been instated.	
21	Failure to meet Council Tax collection targets	<ul style="list-style-type: none"> * Failure of statutory duty. * Reduced cash flow. 	Specialist Services Manager	2	4	8	<ul style="list-style-type: none"> * Established working protocols. * Team resourcing closely monitored and issues reported to ELT. * Performance monitoring in place. 	* Figures up to the end of Quarter 3 (December 2020) confirm collection rate is above target and close to the best in Surrey.	
22	Council is subject to a cybersecurity attack	<ul style="list-style-type: none"> * Data breach. * Impact on delivery of services * Reputational damage. 	Head of Digital Business Transformation and Democratic Services	2	4	8	<ul style="list-style-type: none"> * Cyber Essentials certification in place. * Council information governance, which includes cyber security elements, is reviewed quarterly and formally assessed annually. * Internal audit of this area underway. 	Cyber Essentials certification is in place, and other aspects of cyber security are being assessed as part of an NHS digital security assessment.	
23	Failure to maintain and develop ICT systems	<ul style="list-style-type: none"> * ICT systems failure. * Inability to deliver affected core & statutory services. * Financial costs of rectification. 	Head of Digital Business Transformation and Democratic Services	2	4	8	<ul style="list-style-type: none"> * Digital Strategy in development, which will set out plans for ongoing maintenance and management of systems. * Cyber Essentials certification. * Business continuity plans in place and being reviewed. * Business analyst team in place to drive IT service developments. 	* Digital Strategy on track to come to committee in June.	
24	Staff facing significant financial hardship problems due to the impact the Coronavirus is having on the economy	<ul style="list-style-type: none"> * Negative impact on mental health. * Lack of productivity. * Increase in sickness absence level. 	Executive Head of Corporate Resources	3	2	6	<ul style="list-style-type: none"> * 1-2-1s with Line Managers. * Regular catch up with teams and individuals whilst working from home. * Sickness levels monitored daily. 	* No significant instances identified in this quarter.	
25	Inability to spend Right To Buy receipts on time resulting in having to return them	<ul style="list-style-type: none"> * Reduced cash flow. * Impact on budgets. * Increased recovery costs. 	Executive Head of Communities	2	3	6	<ul style="list-style-type: none"> * Project use of Right To Buy receipts in close discussion with colleagues. 	<ul style="list-style-type: none"> * Use of Right To Buy receipts continue to be monitored through Finance and Housing Development quarterly. * All receipts scheduled to be used in the Council Housebuilding Programme 	
26	Breach of GDPR due to Council business being conducted on personal devices	<ul style="list-style-type: none"> * Reputational damage. 	Head of Legal Services & Monitoring Officer	2	3	6	<ul style="list-style-type: none"> * New Homeworker Policy which mandates rules for staff. * Discourage use of Zoom for business. * Confidential material not to be placed in home bins, but shredded in the office. * Staff to close windows when having work calls. 	* The mitigating actions have been reviewed and no further actions were deemed necessary at this point.	
27	Failure to meet Housing Benefits targets	<ul style="list-style-type: none"> * Failure of statutory duty. * Reduced / delayed support to recipients. * Reputational damage. 	Specialist Services Manager	2	3	6	<ul style="list-style-type: none"> * Established working protocols. * Team resourcing closely monitored and issues reported to ELT. * Performance monitoring in place. 	* Weekly monitoring reports taking place. Introduction of Northgate benefits system. Regular meetings held with Department of Work & Pensions to monitor performance.	
28	Unable to recruit a permanent Chief Executive	<ul style="list-style-type: none"> * Lack of strategic direction and capacity impact on ability to deliver services and priorities * Strain on resources at the Executive Leadership Team level. 	Executive Head of Corporate Resources	2	3	6	<ul style="list-style-type: none"> * Use of expert recruitment partner and extensive advertisement 	* New risk added to the register.	YES
29	Legal and Covid 19 safety requirements are not met for the May elections	<ul style="list-style-type: none"> * Failure of statutory duty * Health and safety of the public and elections staff compromised * Reputational damage. 	Returning Officer / Deputy Returning Officer	1	5	5	<ul style="list-style-type: none"> * Additional Covid 19 protocols and preparations are on track. * Established controls and processes in place. * Use of Government support and guidance 	* New mitigations added (see left), and no further actions are deemed necessary at this time.	YES

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30	Inability of TDC IT infrastructure to support significant increase in home working	<ul style="list-style-type: none"> * Inability for people to work from home. * Unable to carry out BAU. * Failure to support vulnerable residents. * Inability to carry out financial transactions. * Increase in number of people in the office leading to higher risk of spreading Covid-19. 	Head of Digital Business Transformation and Democratic Services	1	4	4	<ul style="list-style-type: none"> * Current TDC infrastructure was tested and is working with a significant number of staff working from home. * Communications have gone out specifically instructing staff to use their own devices to surf the internet and not to use video conferencing unless absolutely necessary. * Team have set up a remote working email address for staff to contact them if they are having issues, this is monitored on a rota basis from 8am every day. 	* Risk reviewed and scored lowered to 4 from Amber to Green.	
31	Inability to pay staff due to IT and resourcing issues	<ul style="list-style-type: none"> * Inability of staff to pay their monthly outgoings. * Staff facing hardship. * Poor staff morale. 	Executive Head of Corporate Resources	1	4	4	* Ongoing review.	* Additional resourcing and IT related risks feature on this register, and no pay issues have been raised at present.	
32	Lack of resilience in IT and telecommunications systems nationally due to a significant increase in home working	<ul style="list-style-type: none"> * Inability for people to work from home. * Unable to carry out BAU. * Failure to support vulnerable residents. * Inability to work with partner organisations. * Increase in number of people in the office leading to higher risk of spreading Covid-19. 	Head of Digital Business Transformation and Democratic Services	1	4	4	* Monitoring updates from Microsoft.	* The risk has been reviewed and no further actions are necessary at this time.	
33	Inability to respond to some SARs and FOIs due to relevant hardcopy files being in the office and therefore not accessible when working from home	<ul style="list-style-type: none"> * Poor image for Council. 	Legal Specialist & Data Protection Officer	2	2	4	* Explain the situation where possible.	* No change to the risk score, however there is ongoing work on policy, training and systems to improve the Council's performance in this area.	
34	Missing documentation related to the Council's assets.	<ul style="list-style-type: none"> * Unable to respond promptly to internal/external enquiries. 	Executive Head of Communities	2	2	4	* Legal undertaking full review and audit of relevant documentation and assets.	Work Continuing. No change to the risk	
35	Musculoskeletal and other problems to staff caused by home work stations not meeting normal health & safety standards	<ul style="list-style-type: none"> * Increase in long-term sickness absence. * Negative impact on productivity. 	Executive Head of Corporate Resources	3	1	3	<ul style="list-style-type: none"> * Working at home staff training module instated on HR training system. * We have now allowed staff with personalised equipment and furniture to transfer this to home setting. * Other requests will be reviewed on an individual basis. 	* HR available to respond to individual requests, however the risk does not appear to be increasing.	

APPENDIX C - Risk Matrix

Likelihood	Almost Certain	5	5	10	15	20	25
	Likely	4	4	8	12	16	20
	Probable	3	3	6	9	12	15
	Possible	2	2	4	6	8	10
	Remote	1	1	2	3	4	5
			1	2	3	4	5
			Negligible	Minor	Moderate	Significant	Severe
			Impact				

Likelihood criteria

Risk Level		Controls
1	Remote	Sufficient controls in place
2	Possible	Conditions exist for occurrence
3	Probable	Controls not fully effective
4	Likely	No effective measures
5	Almost Certain	No effective measures at all

Impact criteria

Risk Level		Impact
1	Negligible	No or negligible impact or disruption to finances, reputation & strategic priorities
2	Minor	Minor impact or disruption to finances, reputation & strategic priorities
3	Moderate	Moderate impact or disruption to finances, reputation & strategic priorities
4	Significant	Major & medium term impact or disruption to finances, reputation & strategic priorities
5	Severe	Severe & medium to long term impact or disruption to finances, reputation & strategic priorities

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