

APPENDIX B - Strategy and Resources Committee Risk Register

Ref:	Risk cause and event	Risk consequences	Risk owner	Likelihood	Impact	RAG	Mitigating actions and responsibility	Status update
1	Inability to maintain high standards of delivery for statutory services	<ul style="list-style-type: none"> <li>* Reputational impact.</li> <li>* Lack of confidence from Members.</li> </ul>	Acting Chief Executive	3	4	12	<ul style="list-style-type: none"> <li>* Corporate Improvement Board in place.</li> <li>* Staff able to work from home and access all relevant information.</li> <li>* Processes and procedures in place.</li> <li>* Performance monitoring in place.</li> <li>* Management actions are devised for all audit observations, which are approved by the Executive Lead and monitored internally by the Corporate Improvement Board.</li> <li>* Monthly liaison meetings are held with our internal auditors.</li> <li>* Internal audit progress reports are brought to Audit &amp; Scrutiny Committee and Members made aware of any no or limited assurance audit reports.</li> </ul>	<ul style="list-style-type: none"> <li>* Work with Planning Advisory Service continues regarding improvements to Planning.</li> <li>* Audit action tracking ongoing.</li> <li>* Finance progressing with review of operating models.</li> </ul>
2	Failure to process Housing Benefits in-line with targets	<ul style="list-style-type: none"> <li>* Failure of statutory duty.</li> <li>* Reduced / delayed support to recipients.</li> <li>* Reputational damage.</li> <li>* Reduction in administration grant fund.</li> </ul>	Specialist Services Manager, Head of Digital Business Transformation and Democratic Services	3	3	9	<ul style="list-style-type: none"> <li>* Replacement of revenues and benefits software system underway, with appropriate oversight and risk management in place.</li> <li>* Established working protocols.</li> <li>* Team resourcing closely monitored and issues reported to ELT.</li> <li>* Performance monitoring in place.</li> </ul>	<ul style="list-style-type: none"> <li>* Likelihood increased due to increased demand, Northgate (software) project impacting business as usual.</li> <li>* Secured additional resource (NPS services) to support processing - to release capacity to clear backlog and support Northgate project.</li> </ul>
3	Council is subject to a cybersecurity attack	<ul style="list-style-type: none"> <li>* Data breach.</li> <li>* Impact on delivery of services</li> <li>* Reputational damage.</li> </ul>	Head of Digital Business Transformation and Democratic Services	2	4	8	<ul style="list-style-type: none"> <li>* Cyber Essentials certification in place.</li> <li>* Council information governance, which includes cyber security elements, is reviewed quarterly and formally assessed annually.</li> <li>* Internal audit of this area underway.</li> <li>* Information governance Board in place.</li> </ul>	<ul style="list-style-type: none"> <li>* Expecting audit outcome soon.</li> <li>* Cyber Essentials certification is place, and other aspects of cyber security are being assessed as part of an NHS digital security assessment.</li> </ul>
4	Failure to maintain and develop ICT systems	<ul style="list-style-type: none"> <li>* ICT systems failure.</li> <li>* Inability to deliver affected core &amp; statutory services.</li> <li>* Financial costs of rectification.</li> <li>* Staff unable to work remotely.</li> </ul>	Head of Digital Business Transformation and Democratic Services	2	4	8	<ul style="list-style-type: none"> <li>* Digital Strategy in development, which will set out plans for ongoing maintenance and management of systems.</li> <li>* Cyber Essentials certification.</li> <li>* Business continuity plans in place and being reviewed.</li> <li>* Business analyst team in place to drive IT service developments.</li> </ul>	<ul style="list-style-type: none"> <li>* Digital Strategy on track to come to committee in June.</li> <li>* Audit actions have been established and are being progressed, but are not completed at this time.</li> </ul>
5	Inability to spend Right To Buy receipts on time resulting in having to return them	<ul style="list-style-type: none"> <li>* Reduced cash flow.</li> <li>* Impact on budgets.</li> <li>* Increased recovery costs.</li> </ul>	CFO	2	3	6	<ul style="list-style-type: none"> <li>* Project use of Right To Buy receipts in close discussion with colleagues.</li> </ul>	<ul style="list-style-type: none"> <li>* Use of Right To Buy receipts continue to be monitored through Finance and Housing Development quarterly.</li> <li>* All receipts scheduled to be used in the Council Housebuilding Programme</li> </ul>

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6	Breach of GDPR due to Council business being conducted on personal devices	* Reputational damage.	Head of Legal Services & Monitoring Officer	2	3	6	* 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 time.
7	Failure to collect revenue income (e.g. Council Tax, business rates, rental) in-line with our targets	* Failure of statutory duty. * Reduced cash flow.	Specialist Services Manager	1	4	4	* Established working protocols. * Team resourcing closely monitored and issues reported to Executive Leadership Team * Performance monitoring in place.	* Figures up to the end of Quarter 4 confirm collection rate is close to target and in-line with other Surrey councils.