

APPENDIX C - Corporate Risk Register

Ref:	Risk cause and event	Risk consequences	Risk Owner	Likely-hood	Impact	RAG	Mitigating actions and responsibility *BOLD* = new mitigation	Status Update	Committee Risk Register
1	Local plan is found unsound by the Inspector	<ul style="list-style-type: none"> * Impact on ability to reject inappropriate planning applications. * Unable to lobby and deliver infrastructure that meets the needs of local residents, public sector partners and businesses for the whole District. * More challenge to develop policies and working with others to support the building of affordable homes. * Inability to meet statutory requirement and risk of statutory intervention. * Unable to review Community Infrastructure Levy. * Additional costs associated with developing a new Plan. * Reputational damage. 	Chief Planning Officer	4	4	16	<ul style="list-style-type: none"> * Dialogue maintained with the inspector following receipt of preliminary conclusions. * Members to be made aware of any risks associated with responses / hearing sessions to the Inspector. * Ensure responses to the Inspector are submitted in a timely manner. * Work with statutory bodies where appropriate to ensure no objection. * Maintain and defend the strategy set out in the submitted Our Local Plan. * Consider legal advice appropriately. * Use consultants and experts in their field where appropriate to defend the Council's Local Plan. * Undertake additional evidence and main modifications as required by the Inspector. * Continue to have discussions with the Inspector via the Programme Officer. * Keep members updated. 	<ul style="list-style-type: none"> * Early consideration of budgets and implications have been commenced. However these options cannot be concluded until transport modelling completed (relating to Junction 6), results were expected end of May 21, however these have been delayed. The results of the modelling are needed before further options can be considered. * Project timetable has encountered an obstacle, namely a lack of response from Highways England. The issue is being escalated appropriately. 	Planning Policy
2	Lack of resources constrains the Council's "business as usual" capacity	<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	4	4	16	<ul style="list-style-type: none"> * Executive Leadership Team reviewing operating models and digital transformation options to release capacity where possible. * Finance capacity / resilience being reviewed as part of Finance shared service arrangement with Surrey County Council. * 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). 	<ul style="list-style-type: none"> * Executive team continuing to review operating models, some of which will be covered by Internal Audit monitoring and remainder via the Corporate Improvement Board. 	Strategy & Resources
3	Lack of capacity in Planning Department negatively impacts performance and delivery of service, such as determining applications in statutory timeframes and managing complaints and FOIs	<ul style="list-style-type: none"> * Inability to provide statutory services to a sufficient standard / quality / timeframe and reporting of poor performance. * Inability to provide non-statutory services which are valued. * Negative impact on staff health and wellbeing. * Reputational damage. 	Chief Planning Officer	4	4	16	<ul style="list-style-type: none"> * Recruitment of temporary staff. * Continuing suspension of non-statutory services to enable focus on statutory services. 	<ul style="list-style-type: none"> * New risk added 17/05/21. * Risk proposed to be included on Corporate Register. 	Planning Policy

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4	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"> * Negative impact on the Council's budget. * Council exhausts reserves to balance the budget. * Reduce services / resources. * 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	3	4	12	<ul style="list-style-type: none"> * Savings trackers used to monitor savings delivery in 2021/22 (reported monthly to the Executive Leadership Team and Members as part of the finance reports). If savings reported are not achieved then the Service will have to find compensating savings from their budget. * Ensuring appropriate use of government issued Covid-19 grants and 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). * The HR/Finance Panel (inc. 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. 	<p>* A potentially significant budget issue has been identified for 2021, with implications for 2021/22. This committee agreed to commission GT to undertake a Forensic Review and Fact Finding exercise on 8th June. Kick-off meeting was undertaken on 17/6 and work will begin week commencing 21st June.</p> <ul style="list-style-type: none"> * A demonstration of using savings trackers has been given by Finance to the Executive Team. 	Strategy & Resources
5	Commercial tenants and businesses unable to make payments to the Council	<ul style="list-style-type: none"> * Reduced cash flow. * Increased vacancies following expiring contracts / insolvencies. * Negative impact on budgets. 	Executive Head of Communities	3	3	9	<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. 	<ul style="list-style-type: none"> * Risk lowered as Covid restrictions ease, and new arrangements in Finance are being setup. 	Strategy & Resources
6	Failure to mobilise waste contract	<ul style="list-style-type: none"> * Failure of statutory duty requiring immediate rectification. * Major reputational damage in the local community. * Poor sanitation in the District due to lack of an alternative option. 	Executive Head of Communities	3	3	9	<ul style="list-style-type: none"> * Increased supplier meetings initiated, and communications to residents, following unexpected emergence of teething issues associated with the new contract going "live". * Effective programme management in place. * Procurement process in place. * Regular contract meetings with the supplier. 	<ul style="list-style-type: none"> * We are in the process of concluding the mobilisation of the contract, such as waiting on the delivery of all vehicles. 	Community Services
7	ICT disaster recovery not in place by end of Summer 2021	<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	2	4	8	<ul style="list-style-type: none"> * Agree disaster recovery solution. * Procure secondary site equipment. * Close monitoring of progress by ELT and internal audit. * Use of cloud based IT systems and system-level back-ups. * Continuance of overnight back-up tapes. 	<ul style="list-style-type: none"> * Project on track for operation in July 2021. At present, we are waiting for the equipment to be delivered to the supplier for pre-setup. A planning session will then be held with supplier to plan the next stage. 	Strategy & Resources
8	Lack of robust and up-to-date safeguarding policies and procedures in place	<ul style="list-style-type: none"> * Risk of harm to children and vulnerable people. * Failure of statutory duty. 	Executive Head of Corporate Resources	2	4	8	<ul style="list-style-type: none"> * Safeguarding project Approval to Start Form being submitted April 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"> * Project initiation document approved by Executive Team 27 April 2021. 	Strategy & Resources

APPENDIX C - Corporate Risk Register

9	Ongoing Covid-19 response and recovery reduces the Council's capacity for "business as usual" activities	<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	2	1	2	<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"> * Covid Project Team advised that Covid response is lessening in terms of the demands it is placing on our staffing capacity. * Appropriate Covid grants are being used to support resourcing where possible. 	Strategy & Resources
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