

APPENDIX C - Corporate Risk Register

Ref:	Risk cause and event	Risk consequences	Risk Owner	L	I	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 Executive	4	4	16	<ul style="list-style-type: none"> * Dialogue maintained with the inspector following receipt of preliminary conclusions. * Continue to assess CIL bids to help support infrastructure delivery where possible. * 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"> * Risk owner changed to Chief Executive, however an Interim Chief Planning Officer is now in post. * 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 initially expected end of May 21, however these have been delayed due to the complexity of modelling and involvement of third parties. The results of the modelling are needed before further options can be considered. * Senior officers and relevant Councillors and committee members are being kept updated. 	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 	Chief Executive	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"> * Risk owner changed to Chief Executive as Executive Head of Corporate Resources position is currently vacant. * Whilst resourcing has been addressed in some areas, as a corporate level this remains a high risk. * Executive team continuing to review operating models, in particular related to Finance and Planning functions. * Corporate projects and their prioritisation are being assessed given limited organisational capacity. 	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 because of prioritisation of providing statutory services. * Negative impact on staff health and wellbeing. * Risk of staff departure due to ongoing uncertainty and no continuity of planning officers, reliance of temps * Potential risks of costs claims, complaints and legal challenges. * Reputational damage. * Increase in complaints and FOIs adding further pressure to officer time required to respond/investigate * Costs claims and time impact of providing a defence; risk of award of costs against the Council 	Chief Executive	4	4	16	<ul style="list-style-type: none"> * Peer-review of development management department undertaken by Planning Advisory Service (PAS). * Local enterprise partnership supporting the Council's Community Infrastructure Levy (CIL) work. * Recruitment of temporary staff. * Continuing suspension of non-statutory services to enable focus on statutory services. * Maintain cross checking of reports and decision notices. * Maintain specialist (legal, policy and regulatory) input in decision taking. * IT have made changes to internal systems to pull through time sensitive applications. 	<ul style="list-style-type: none"> * Risk owner changed to Chief Executive as the position of Chief Planning Officer is currently vacant. However an interim Chief Planning Officer is now in post, and the Chief Executive is currently progressing the permanent recruitment to this post. * Work underway to begin formulating a business case to make improvements to Planning following review of PAS report. 	Planning Policy

APPENDIX C - Corporate Risk Register

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"> * Action plan produced to address recommendations from Grant Thornton review. * 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. 	* The Grant Thornton review has been completed and was presented to Strategy & Resources committee on 14 September 2021 with an action plan detailing the Council's response to the findings.	Strategy & Resources
6	Inability to carry out waste collection service in-line with the performance management framework	<ul style="list-style-type: none"> * Waste left on the street. * Environmental impact. * Poor reputation for Council. * No alternative for residents. 	Locality Services Manager	4	3	12	<ul style="list-style-type: none"> * Hierarchy of services has been agreed for when/if there is insufficient staff. * Process in place for Biffa to provide a daily update when staff absent, including the rectification proposals. * Monitoring availability of agency staff. * Surrey Waste Officers Group meet weekly to understand issues across the County and to horizon scan for any upcoming issues based on others experiences. 	<ul style="list-style-type: none"> * Risk score high due to national shortage of HGV drivers, which is beginning to impact our services. Our garden waste services has been suspended for two weeks, although additional 'sacks' will be allowed when the service resumes. * The creation of the new performance dashboard has been created. Although officers are still reviewing the data, a version 1 has been included in the performance charts for Community Services committee. 	Community Services
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. 	* Risk reviewed by executive lead, no changes for this quarter.	Strategy & Resources

APPENDIX C - Corporate Risk Register

11	Senior management vacancies inhibit corporate performance and improvement	<ul style="list-style-type: none"> * Negative impact on corporate performance * Impact on corporate governance * Limit progress on internal audit and corporate improvement work * Increase corporate instability * Increase staff anxiety with lack of / unclear strategic direction 	Chief Executive	4	3	9	<ul style="list-style-type: none"> * Chief Executive progressing recruitment to vacant Chief Planning Officer post, and assessing most appropriate solution to replace the Executive Head of Corporate Resources who will leave the Council at the end of July 21. 	<ul style="list-style-type: none"> * Interim Chief Planning Officer in post. Permanent position currently being recruited. * Risk owner changed to Chief Executive as Executive Head of Corporate Resources position is currently vacant. * New risk added to the register 13/07/21. 	Strategy & Resources, Planning
7	Loss of some ICT systems and data due to disaster recovery solution not being 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. * Data loss. 	Head of Digital Business Transformation and Democratic Services	1	4	4	<ul style="list-style-type: none"> * Agreed and procured disaster recovery solution. * 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"> * Risk re-worded to better reflect the risk. Likelihood lowered, as the likelihood of an incident that would render the relevant systems inoperative is unlikely. We have had some slippage in the delivery date, to October, due to supplier delays and internal capacity. However progress continues to be made, as the second site is now being setup. 	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. 	Chief Executive	2	4	8	<ul style="list-style-type: none"> * Safeguarding project underway. * 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"> * New safeguarding officers identified across the Council. * Intranet pages updated with new contact details. * New policy drafted and due for circulation for comments. * Monthly project progress reports presented to SLT. * Risk owner changed to Chief Executive as Executive Head of Corporate Resources position is currently vacant. * Project initiation document approved by Executive Team 27 April 2021. 	Strategy & Resources
10	The Tandridge Financial Transformation fails to deliver its objectives	<ul style="list-style-type: none"> * Negative impact on Council's finances and future financial sustainability. * Negative impact on staff morale. * Reputational damage. 	CFO	2	4	8	<ul style="list-style-type: none"> * Programme team, risk register and plan in place. * Robust governance. * Regular reporting. * Communications and engagement covered in project plan. * Clear expectations regarding joint commitments set out in the Joint Working Agreement. 	<ul style="list-style-type: none"> * New risk added to the register 13/07/21 following S&R Committee approval of programme. 	Strategy & Resources
12	High levels of Covid isolation (via test & trace) lead to increased absences which impact service delivery	<ul style="list-style-type: none"> * Negative impact on service delivery 	Chief Executive	2	2	4	<ul style="list-style-type: none"> * ELT discussing with SLT to ascertain risk score / (potential) service impact. 	<ul style="list-style-type: none"> * No reports of this risk significantly effecting the council. Expecting risk to be green at the next review as relevant government regulations have been amended. * New risk added to register 10/08/21, proposed via Communities DLT 19-07-21. 	Strategy & Resources

APPENDIX C - Corporate Risk Register

9	Ongoing Covid-19 response and recovery reduces the Council's capacity for "business as usual" activities	* 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	* 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.	*Covid project work now covered by Customer Engagement and Partnerships team. * Minimal SLRF meetings requiring attendance. * Minimal requests for welfare assistance from those self isolating.	Strategy & Resources
---	--	--	---------------------------------------	---	---	---	--	--	----------------------