

APPENDIX C - Corporate Risk Register

Ref:	Category	Risk cause and event	Risk consequences	Risk Owner	L	I	RAG	Mitigating actions and responsibility *BOLD* = new mitigation	Status Update	Committee Risk Register
P2	Strategic	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. 	Interim Chief Planning Officer	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. 	* Senior officers engaging with the national Chief Planner and briefing councillors.	Planning Policy
SR1	Operational	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"> * Future Tandridge Programme being developed - led by the Chief Executive - to address prioritisation, resourcing, resilience and organisational development issues. * Draft Programme to be discussed at Councillor Briefing on 19 January followed by decision to implement at Strategy and Resources on 1 February. 	Strategy & Resources
P3	Operational	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 	Interim Chief Planning Officer	4	4	16	<ul style="list-style-type: none"> * Peer-review of development management department undertaken by Planning Advisory Service (PAS)) is being implemented through the Planning Transformation process commencing January 2022. * Non-statutory pre-application advice service reinstated to assist with ensuring that submitted applications can be processed more efficiently and effectively. * Local enterprise partnership supporting the Council's Community Infrastructure Levy (CIL) work. * Recruitment of temporary staff. * 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"> * Chief and Principle category posts that are vacant are being advertised nationally to attract the widest range of candidates. * Local Validation List for applications being prepared to assist with validation of applications and need for planning officers to seek additional information or changes to applications. 	Planning Policy

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SR3	Financial	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. 	Chief Financial Officer & S151	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. 	<ul style="list-style-type: none"> * 22/23 Draft Budget & MTFs was presented to S&R on 2nd Dec and was noted. The report will be updated based on the Provisional Settlement due on 16th December and presented as part of the Final Budget Report to Committees in Jan, to S&R on 1st Feb and FC on 10th Feb. A draft balanced budget has been presented and there is confidence that the a final budget will also be balanced with minimal use of Reserves. The 21/22 position is challenging due to the commercial environment and now that the 20/21 has been approved by S&R on 2nd Dec, monthly Finance Reports on the position will be sent to Members. If we do not end the year in a balanced position, any deficit will need to be taken from Reserves. 	Strategy & Resources
6	Governance	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 monthly to understand issues across the County and to horizon scan for any upcoming issues based on others experiences. 	<ul style="list-style-type: none"> * Situation is as previously recorded. The hierarchy of services has been reviewed in light of the potential Covid wave and is still fit for purpose. The Surrey Waste Officers meets less frequently now though this may be increased in light of the current situation. 	Community Services
SR4	Programme	Resources unavailable to progress climate change action plan in set timescales	<ul style="list-style-type: none"> * Delays to reducing the council's operational carbon emissions as early as possible, and in line with the 2030 ambition. * Negative impact on council's reputation in this area. 	Chief Executive	4	3	12	<ul style="list-style-type: none"> * Red due to resources remaining strained and causing delays to AP actions. * Reporting lines for Programme established – inc. to ELT. * Regular comms between PMO and delivery officers. * Agree to tolerate residual risk as programme is not one of the Council's critical / statutory services. 	<ul style="list-style-type: none"> * New risk added to the register 12/10/21 at executive leadership team meeting. * Council's role and subsequent resourcing requirements to be reviewed through Strategic Plan refresh. 	Strategy & Resources
SR5	Governance	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	3	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"> * Senior management restructure being considered in the new year to address current vacancies and work towards transforming Tandridge. * ELT/SLT now working more closely together on corporate priorities. 	Strategy & Resources
P17	Programme	The Planning Transformation fails to deliver its objectives within set timescales	<ul style="list-style-type: none"> * Unable to address several red development management risks. * Poor customer services. * Increased costs if temporary staff are required for longer than expected, and unsound council decisions on applications are made and then overruled by planning inspectorate. * Unable to accurately report on the performance of the service. * Potential failure of statutory duty. 	Interim Chief Planning Officer	2	4	8	<ul style="list-style-type: none"> * Project reporting to Planning DLT provides clear route to escalation of issues. * Interim Chief Planning Officer in Place. * Project resource in place. * Staff consultation on Planning Transformation undertaken. * Roll-out of Planning Transformation from 04 January, 2020. 	<ul style="list-style-type: none"> * Business case for additional staffing and re-structure approved at Planning Policy Committee on 25th November. New structure will go live on 4th January 2022. Until key vacant posts are filled on a permanent basis the service is at risk. Temporary staff contracts need to be extended to cover off key posts if we fail to recruit permanent staff in the new year. 	Planning Policy

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SR10	Governance	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. 	Head of Customer Engagement and Partnerships	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. * Councillor training due to be rolled out in January 2022. * Creation of new online reporting form on Salesforce. Currently in test due to be live in January. * Staff awareness briefings to be rolled out in team meetings in February 2022. 	Strategy & Resources
SR9	Programme	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. 	Chief Financial Officer & S151	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"> * An update on the TFT is included in the agenda for Strategy & Resources Committee on 11 Jan 2021. 	Strategy & Resources
SR16	Governance	The Council fails to improve its governance framework in line with internal audit observations and other planned improvements to corporate governance	<ul style="list-style-type: none"> * Unable to deliver on Strategic Plan objective of "Building a Better Council". * Unable to address identified risks associated with the council's internal control environment. * Reputational damage. 	Chief Executive	2	4	8	<ul style="list-style-type: none"> * Internal audit action plan in place. * Corporate Improvement Plan in place. * Annual Governance Statement produced annually, which includes high priority governance improvement actions. * Corporate, internal audit and Audit & Scrutiny monitoring of governance action plans in place. * Internal Audit Plan produced annually. 	<ul style="list-style-type: none"> * New risk added to the register following ELT meeting 09/11/21. * Internal governance meetings streamlined to improve effectiveness. 	Strategy & Resources
SR14	Operational	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