

Appendix B – Strategy and Resources Risk Register

Ref:	Category	Risk cause and event	Risk consequences	Risk Owner	L	I	RAG	Mitigating actions and responsibility	Status update
RD1	Operational	Inability to procure goods and services effectively due to lack of resources	<ul style="list-style-type: none"> * Failure of statutory responsibility to procure all goods and services in line with the Public Contract Regulations 2015 *Risk of legal challenge and subsequent financial penalty. *Delays in procuring new contracts * Financial risk of continuing with old contracts. *Failure to maintain the Contracts Register -financial risk of contracts auto renewing. *Delays in responding to FOIs -failure to meet the legal deadline. 	Procurement Specialist	4	4	16	Recruit new member of staff. Additional admin support for one day a week from Case Officer.	<ul style="list-style-type: none"> *Tried unsuccessfully to recruit a Procurement Apprentice. Re-advertised for a Procurement Trainee. No candidates accepted invitation to interview. The post remains unfilled. *24/03/2022 - Internal Officer providing one days admin support to update and maintain the Contracts Register.
RD2	Operational	Delay or inability to procure goods and services due to shortage of officers who can use the council's tendering portal.	<ul style="list-style-type: none"> *Failure of statutory responsibility to procure all goods and services in line with the Public Contract Regulations 2015 -therefore risk of legal challenge and subsequent financial penalty. *Extra burden on Procurement Specialist at a time when under resourced 	Procurement Specialist	4	4	16	Provide training for new procuring officers.	<ul style="list-style-type: none"> This cannot be done until new procurement officer / trainee in place. *24/03/2022 - Have provided ad hoc training to 2 staff but problem continues. Ongoing discussions are being held to look at options.

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RD3	Operational	Inability of residents to contact the Council due to office being partially 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	3	3	9	<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. * Promotion of online reporting through social media and newsletters * Customer service emails acknowledged and responded to within 24 hours. * 24/03/2022 - Council offices are now fully open. We are still encouraging residents to book an appointment before turning up so that we can guarantee that the right staff are in the office to assist the resident. <p>New staff member joining on the 4th April and seeking approval to replace member of staff who is leaving.</p> <p>Continuing efforts to minimise the risk of staff catching Covid, however sickness in the team is an ongoing issue. A couple of the team also have long-covid.</p>
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RD4	People	Increase in staff mental health problems leading to lack in productivity	<ul style="list-style-type: none"> * Lack of productivity in staff. * Increase in sickness absence. 	HR Lead Specialist	4	2	8	<ul style="list-style-type: none"> * Sickness levels are being monitored daily and there is no significant increases to note currently. * Mental Health First Aider carried out in July 2020. 	<ul style="list-style-type: none"> * Whilst employee support schemes remain in place, including Mental Health First Aid and the Wellbeing Prescription, it is expected that this risk will lower as we move through the government's Covid recovery roadmap. * 24/03/22 - HR to put together a working group to look at wellbeing of staff.
RD5	People	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. 	HR Lead Specialist	2	3	6	<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.

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RD6	Fraud	Data solicited or taken forcibly by external parties and/or used by insiders for personal gain (e.g. theft of personal data to perpetrate identify fraud)	<ul style="list-style-type: none"> * Reputational damage. * ICO investigation / fines. * Data breach, including of data subjects. * Impact on service delivery if systems need to be taken offline. 	Head of Legal	2	3	6	<ul style="list-style-type: none"> * Cyber essentials certification. * All staff personal data is protected * Access to G drive by department * Restricted access in use for SharePoint. * Laptops are password protected * Suite of information governance policies in place; * Information governance management team in place to monitor * Contractors and temporary staff need to sign the same IT policy as full time members of staff. 	<ul style="list-style-type: none"> * 25/01/22 - cyber security training has been provided throughout the organisation. * 24/03/22 - Officers / Members who have not yet completed training have been chased.
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RD7	Fraud	Corruption including bribery and improper influence, failure to declare conflicts/gifts, suppressing or providing false information to sway decisions or affect outcome	<ul style="list-style-type: none"> * Legal challenge. * Reputational damage. * Theft. * Contravention / breach of Council and/or local government policies and procedures. 	Head of Legal	2	3	6	<ul style="list-style-type: none"> * Decisions are rarely/if ever made by one person. There is a clear Committee structure to scrutinise decision making, overseen by the Head of Legal. * Delegated decision record forms used with set list of signatories. * Executive Team meetings minuted. * HR (staff) and Democratic Service (Members) hold a gifts register. * Employee and Member code of conduct. 	<ul style="list-style-type: none"> * - 25/01/2022 Policy has been updated. *24/03/2022 – policy being implemented
RD8	Fraud	Recruiting inappropriate staff due to false applications and/or identity fraud	<ul style="list-style-type: none"> * Inappropriate / unqualified staff hired. * Contravention of national and local authority legislations and/or policies. * Negative impact on performance. * Legal challenge. * Potentially safeguarding issues. * Potential contravention of 'right to work'. 	HR Lead Specialist	2	3	6	<ul style="list-style-type: none"> * Right to work checks completed in-line with government guidance. * DBS checks for all new starters. * Enhanced DBS checks conducted for relevant roles. * References requested as part of recruitment process. * Qualifications and experienced addressed via interview process, inc. one person on the recruitment panel being trained in recruitment and selection. 	

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RD9	Operational	Inability to respond to FOIs, SARs and complaints according to set timescales	<ul style="list-style-type: none"> * Poor image for Council *Breach of statutory duty with possible sanctions *Reputational damage 	Head of Communications and Customer Experience	2	2	4	<ul style="list-style-type: none"> * Explain the situation where possible. Keep requestors up to date about when they can expect a response. * Fortnightly reports of overdue cases shared with EMT to encourage completion. * More staff trained to redact documents. * Ongoing complaints training. 	<ul style="list-style-type: none"> * 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. *24/03/2022 – Information about overdue responses are now shared with the extended management team fortnightly and discussed at each monthly meeting
RD10	Fraud	Procuring the wrong goods and services due to collusion distorting fair an open competition; collusion between bidders; submission of false documents for payment; collusion with contractors etc.	<ul style="list-style-type: none"> * Unfair competition for procurement contracts contra to local government policy / regulations. * Council contracts with an inappropriate / fraudulent contractor. * Negative impact on Council budget should contractor fail to deliver and/or another procurement is required to replace a fraudulent contractor. 	Head of Legal	2	2	4	<ul style="list-style-type: none"> * Clear procurement process to ensure fair and open procurement * Corporate Procurement Board reviews decisions * Contracts are reviewed by Legal and signed off members of the management team * Contracts are awarded on a matrix with consistent scoring. * The Employee code of conduct addresses the risk of bias * The tendering portal is very secure so there can be no collusion. * There is a list of signatories and only these signatories can bind the Council contractually. 	

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RD11	Fraud	Incorrect election results due to fraudulent acts by voters, canvassers, poll clerks and officers, and/or count staff	<ul style="list-style-type: none"> * Failure of statutory duty. * Possible recounts and formal investigations into election outcomes. * Reputational damage. 	Chief Executive	1	4	4	<ul style="list-style-type: none"> *Compulsory training is a requirement for all staff to complete before every election. * Fully trained Polling stations inspectors visit each station at least twice on voting day. * Presiding Officers and Count supervisors receive prescribed training. 	
RD12	Technology	Current IT system (in place for 16 years) allows documents with only basic redactions to be put on website before they have been signed off by Planning Officer risking third party data being published	<ul style="list-style-type: none"> *Breach of statutory duty with possible sanctions *Reputational damage * Worry for those responsible for the basic redactions 	Head of Legal / Head of Planning / DP Officer / IT	2	2	4	<ul style="list-style-type: none"> *Changes to IT system to be made so that documents are not uploaded to website until they have been signed off by Planning Officer 	* 24/03/2022 Issue is to be addressed as part of the Future Tandridge Programme
RD13	Operational	Failure to report serious data protection breaches within the necessary time frame due to delays in DPO being notified	<ul style="list-style-type: none"> *Breach of statutory duty with possible sanctions *Reputational damage 	Head of Legal / DP Officer	2	2	4	<ul style="list-style-type: none"> *Reminding departments of the need to report potential breaches as soon as possible 	* 24/03/2022 DP Officer has set up a Data Champions group where someone in each department is responsible for promoting DP awareness and liaising with the DP Officer. First meetings have been held.

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RD14	Operational	Contracts coming to legal too late often close to or after the expiry date, often with outstanding governance issues	*Financial and legal risk of contract renewing *Risk of services being withdrawn if contract not renewed before expiry	Head of Legal	2	2	4	*Departments to set reminders 3 months in advance of expiry to contact Legal and to consider any governance issues	* 25/01/22 and 24/03/2022 - Improvements have been made
RD15	Operational	Inability of contracts to be signed due to DDRs signatories being on leave	*Financial and legal risk of contract not completing on time *Risk of services being withdrawn	Head of Legal	2	2	4	*Advance notification given to other signatories of intended annual leave / other absences *Consider having additional signatories	* 25/01/22 Once future management structure has been agreed, the constitution will be amended to increase signatories *24/03/2022 future management structure work ongoing
RD16	Commercial	Commercial property leases expiring without a new lease or tenancy at will being put in place or a letter sent to reserve the Council's rights.	*Tenant becomes trespasser making it costly for the Council to obtain possession *Tenant may gain protection of the LTA 1954 Act and make it difficult and costly to obtain possession	Executive Head of Communities	2	2	4	*Property to set reminders 3 months in advance of lease expiry (in the case of contracted out leases) to contact Legal to consider options	*24/03/2022 - Risk level remains the same. The asset team has procedures in place to monitor critical lease dates, and meets regularly with the legal team, however due to limited staff resources and following an extended sickness absence, some renewals are taking longer than would be ideal. Renewals to community organisations can be particularly time - consuming if a rental subsidy application is required.

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RD17	Operational	High levels of Covid isolation (via test & trace) lead to increased absences which impact service delivery	* Negative impact on service delivery	Chief Executive	2	2	4	Monitored through MT/EMT. Return to the Office protocol in place	* 25/01/22 - New return to work protocol to be published *24/03/2022 Return to work protocol has been published. TDC staff have been impacted by the general increase in covid cases throughout the district since the lifting of restrictions
RD18	Legal	Data sharing without having conducted a DPIA and/or a DSA.	* Referral to ICO, fine could be issued if leads to a breach. * Reputational damage. * Other implications related to inappropriately sharing specific data.	Head of Legal	2	2	4	* ROPA and departmental data champions currently being established. * Review of Data Sharing after completion of ROPA. * Training in data sharing risks and steps to take before sharing	* Added to register 12/10/21.
RD19	Operational	Legal and Covid 19 safety requirements are not met for the May elections	* Failure of statutory duty * Health and safety of the public and elections staff compromised * Reputational damage.	Returning Officer / Deputy Returning Officer	1	1	1	* Additional Covid 19 protocols and preparations worked in May 2021 elections. * Established controls and processes in place. * Use of Government support and guidance	* 24/03/2022 Due to implement several safety measures at polling stations in May that worked well at May 2021 elections. Measures will also be in place at the count, although not at the same level as last year. Officers will continue to monitor the number of cases locally to ensure the measures are appropriate for the level of risk