

Risk domain most impactful on rating	Risk ref	Risk description (there is a risk that...)	Consequence (which could/would result in)	Factors affecting likelihood	Gross likelihood of risk	Gross impact of risk	Gross score	Mitigation measures - reduce impact or likelihood	Target dates for mitigation	Action owner / Service Lead	Residual likelihood	Residual impact	Residual score
Health and Safety	CR1	There is a risk that a member of staff or a Council contractor is involved in an incident or accident at work	Which could result in serious injury, ill health or loss of life and could result in financial loss and reputational impact to the Council. This risk is most significant in Operational and Technical Services (depot, refuse collection)	The Council regularly undertakes work which can be dangerous without proper training and application e.g. refuse collection and the operation of large machinery	3	4	12	Risk assessments in place for all appropriate activities and appropriate measures put in place; New starters are required to attend corporate induction training which includes health and safety in the workplace. All staff complete appropriate training related to health and safety in the workplace Corporate Health & Safety Policies in place, including Accident, Occupational Health, Near Miss, Dangerous Occurrence Reporting Procedure; Corporate Construction Design & Management Policy; Corporate Contractor Activity Control Procedure; Fire Safety; Legionella Control and Asbestos; Lone working & violence at work policy Fire Drills Corporate Health and Safety Group	Ongoing (as part of Corporate Induction); Risk assessments are ongoing. Service risk registers to be completed by October 2020.	All Service Leads Corporate Health and Safety Group Premises Managers	2	4	8
Health and Safety	CR2	There is a risk that the public is involved in an incident or accident relating to the Council's work or work carried out by a contractor on the Council's behalf	Which could result in injury, ill health or loss of life and could result in financial loss and reputational impact to the Council.	The Council regularly undertakes work which can be dangerous without proper training and application e.g. refuse collection and the operation of large machinery	3	4	12	All teams providing services to the public must complete risk assessments where appropriate and report to the corporate Health and Safety Group. Corporate Health & Safety Policies in place, including Accident, Occupational Health, Near Miss, Dangerous Occurrence Reporting Procedure; Corporate Construction Design & Management Policy; Corporate Contractor Activity Control Procedure; Fire Safety; Legionella Control and Asbestos;	Risk assessments are ongoing. Service risk registers to be completed by October 2022.	All Service Leads Corporate Health and Safety Group	2	4	8

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Health and Safety	CR3	There is a risk that vulnerable adults and children are not properly safeguarded	Which would result in harm to those vulnerable adults and children and the inability to meet statutory duties which could result in associated legal challenge and potentially reputational damage to the Council		3	4	12	Safeguarding policy and procedures are reviewed regularly and included in the corporate induction training. DBS checks carried out for all key roles	Ongoing (as part of Corporate Induction)	Strategy and Communications Manager (Strategic Lead) and Head of Community Services (Operational Lead)	2	4	8
Service delivery	CR4	There is a risk that the Council suffers a loss of premises, operational property, facilities and/or equipment across some or all of its properties	Which could result in the disruption of key services and activities for customers.		2	4	8	The Council completes and keeps up to date a corporate business continuity plan and all services complete and update their own service business continuity plans	01/04/2022 for completion with ongoing updates	Strategy and Communications Manager	2	3	6
Service delivery	CR5	There is a risk that a cyber security incident could lead to the loss of IT systems or data	Which would result in the Council being unable to operate as normal and disruption to services	International political unrest and conflict (eg, Ukraine) - hostile state actors seeking to disrupt workings of western governments.	3	4	12	The Council completes and keeps up to date a corporate business continuity plan and all services complete and update their own service business continuity plans. The Council conducts regular PEN tests and reduces reliance on older systems with less security	01/04/2022 for completion of BCPs with ongoing updates. Reduction in use of older IT systems	All Service Leads IT Service Lead Strategy and Communications Manager	2	3	6
Service delivery	CR6	There is a risk that the Council is unable to recruit and retain staff, including as a result of the Guildford/Waverley collaboration	Which could result in reduced capacity to deliver, compromise service delivery and quality, redirection of resources and increased spend on consultants and agency staff.	The Council is currently experiencing these issues. Various key vacant posts include Climate Change Officer and in Planning (Case Services). The Waverley/Guildford collaboration may make this more likely Some posts are especially difficult to fill - senior planning officers, surveyors and caseworkers	6	3	18	Agency recruitment through Comensura or procurement exemption Acting up of junior officers to fulfill these roles	Ongoing	Lead Specialist - HR	6	3	18

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Service delivery	CR7	There is a risk that external events cause major emergencies and incidents in the borough (such as flooding, fire, terrorism, climate change, pandemic/new variant of Covid-19)	Which would result in disruption to service delivery and redirection of resources/temporary reduction of staff, loss of income/increased costs		3	4	12	Covid group meeting regularly Business Continuity and Recovery Plans in place	Ongoing	Strategy and Communications Manager Head of Environment and Regulatory Services	3	3	9
Financial	CR8	The a risk that the Guildford-Waverley collaboration does not meet its objectives.	Which could result in: increased/sustained financial difficulty to the Council and may cause resources to be redirected; the Council being unable to produce a balanced budget and reputational damage; disruption to service delivery	Need for robust business cases and strategic direction Some teams are already reporting being under-resourced, changes to staffing structure may result in a reduction in capacity.	4	3	12	Completed Inter-Authority Agreement (which includes IAA risk register) Comprehensive risk register in place for collaboration Council's Constitution; Financial Procedure Rules; High-level financial feasibility study by local partners;	Ongoing	Joint Chief Executive	3	2	6
Financial	CR9	There is a risk that capital programmes and projects experience issues that affect time, quality or budget	Which could result in the Council not achieving its priorities, reputational damage and financial difficulty through an increase in costs	Verto (programme and project management system) being implemented for programmes and projects at present Loss of project managers Inadequate business cases	4	2	8	PPM Governance procedures in place Regular monitoring through Major Projects programme board and regular financial reporting to CMT Enterprise Portfolio Board Financial risk register in place and reserves levels sufficient to meet risks. Monitoring of financial risk register through financial monitoring reports	01/02/2023	Head of Regeneration and Corporate Programmes	3	2	6
Financial	CR10	There is a risk of bankruptcy of a supplier of a major contract	Which could result in service failure, increased demand in other service areas, bringing services back in-house which could lead to a significant escalation of costs or loss of income	Economic conditions	3	3	9	Full due diligence process when procuring Suitable legal clause in contracts Critical contracts register in place where identified contractors are subject to Financial monitoring	Ongoing	Legal Lead Specialist, Procurement Lead Specialist, Finance Lead Specialist	2	3	6
Financial	CR11	There is a risk that the Council will be unable to achieve its ambitions in certain areas as a result of being unable to access certain funding, for example for infrastructure from LEP, Homes England etc	Which could result in the inability to commence and/or complete certain projects of work and insufficient funding to deliver services	Government's Levelling-Up Agenda and priorities for investment High national debt, national recession, Projects not meeting milestones in funding agreements	4	3	12	Regular relationship management meetings with funding bodies to promote GBC schemes Consider alternative funding mechanisms where possible Grant agreements in place with LEP and HE. Fair funding review / levelling up. Close project monitoring. Horizon scanning of funding changes.	Ongoing	Head of Regeneration and Corporate Programmes	3	3	9

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Financial	CR12	There is a risk that the Council will be unable to make the savings required to close the budget gap	Which would result in being unable to achieve the Medium Term Financial Plan (MTFP)	Political will	4	3	12	Robust budget forecast, savings strategy and effective decision-making Saving programme steering group	Ongoing	Lead Specialist - Finance, Resources Director	3	3	9
Financial	CR13	There is a risk that the Council experiences loss of income from local income streams eg, fees and charges / council tax / property rents etc	Which would result in the budget being insufficient or incorrect and could result in closure or cessation of discretionary services, a reduction in service delivery or redirection of budgets.	Economic conditions Climate change and change of population behavioural changes and working patterns Cost of living may impact on residents' ability to pay council tax, rent etc. Business changes e.g. downsizing and office space Reduction in Govt funding Reduction in demand; Income streams haven't fully recovered to pre-covid19 levels	4	3	12	Sensitivity analysis. Financial monitoring. Reserves	Ongoing	Lead Specialist - Finance, Resources Director	4	2	8
Financial	CR14	There is a risk that the Council experiences increased costs	Which would result in the budget being insufficient or incorrect	Economic conditions; Higher demand for some services Reduction in demand for discretionary services will increase costs for the Council Increased regulation and compliance Income streams may not fully recover to pre-covid levels Long-term behaviours in working patterns; Increase in price of fuel	5	3	15	Sensitivity analysis. Financial monitoring. Reserves Inter-authority agreement for Guildford/Waverley collaboration	Ongoing	Lead Specialist - Finance, Resources Director	4	2	8
Financial	CR15	There is a risk that financial fraud is committed by a resident, contractor or service user	Which could result in loss/misapplication of public money or property, potential investigation into the Council's operating procedures and a compromised democratic process	Internal control weakness	3	2	6	Anti-fraud and corruption policy Procurement process asks for declaration on grounds for mandatory exclusion to include bribery, corruption, conspiracy, terrorism, fraud and money laundering	Feb-23	Lead Specialist - Finance, Resources Director	2	1	2
Legal/regulatory	CR16	There is a risk that the Council experiences a major data breach	Which would result in multiple sensitive records of service users' personal data being leaked and could result in associated legal governance and potentially reputational (and/or financial) damage to the Council	Human error, failure to observe policy, failure to attend training, technical faults	3	4	12	GDPR training included as part of the corporate induction programme Egress System - secure email; Information Risk Group and Action Plan; Data Protection Training Adequate technical measures	Ongoing	Strategy and Communications Manager	2	4	8

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Legal/regulatory	CR17	There is a risk that the Council experiences a minor data breach	Which would result in a very small amount of service users' data being shared with the wrong person and could result in financial payment	Human error, failure to observe policy, failure to attend training, technical faults	5	1	5	GDPR training included as part of the corporate induction programme Egress System - secure email	Ongoing	Strategy and Communications Manager	4	1	4
Legal/regulatory	CR18	There is a risk that councillors or staff breach their codes of conduct	Which could result in poor, or lack of, decision-making and/or acting unlawfully which may have an adverse impact on the Council's reputation	Lack of knowledge; Inexperienced councillors or staff	4	1	4	New Councillor Induction programme; Councillor training; Staff Induction programme; Training Programme; Councillors ICT Policy; Councillor Code of Conduct; Staff Code of Conduct; Corporate Governance Group Monitoring Officer	Ongoing	Monitoring Officer Lead Specialist HR	3	1	3
Legal/regulatory	CR19	There is a risk that the Council fails to make lawful decisions and follow governance procedures	Which could result in legal challenge, reputational damage and costs to the Council		3	3	9	Regular review of constitution and training for decision-makers; Decision making processes in place / role of Monitoring Officer	Ongoing	Monitoring Officer	2	3	6
Reputational	CR20	There is a risk that the Council fails to meet its target of becoming net carbon zero by 2030	Which would result in a missed opportunity to reduce the Council's impact on the environment and reputational damage	The delivery of this priority is impacted by competing objectives and important income generation streams (e.g. car parking revenue)	4	2	8	Training with Association of Public Service Excellence. Development of energy monitoring capabilities with corporate performance indicators on 'energy use by the Council: gas, electricity and fleet' and 'CO2 emissions from Council operations' starting to be monitored in Q2 2022/23	Q2 2022/23	All Service Leads			0