

Date risk added	Relation to Corporate Plan	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 / Executive Head	Residual likelihood	Residual impact	Residual score	Comment
2022	Excellence and Customer Service	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 Revised Guide for Managers published 25 September and link circulated to all staff. Managers' Health and Safety refresher course to be re-launched.	Ongoing (as part of Corporate Induction); Risk assessments are ongoing.  Managers health and safety refresher courses to be re-launched in November	All Exec Heads Corporate Health and Safety Group Premises Managers	2	4	8	
2022	Excellence and Customer Service	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	Exec Head of Legal and Democratic Services - Susan Sale, Exec Head of Finance - Richard Bates, Procurement Lead Specialist - Adrian Swift, Finance Lead Specialist - Victoria Worsfold	2	3	6	
2022	Homes and Jobs	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	Exec Head of Regeneration and Planning Policy - Abi Lewis Exec Head of Finance - Richard Bates	3	3	9	
2022	Excellence and Customer Service	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) and the issuing of a s114 notice (leading to government intervention)	Political will	4	3	12	Robust budget forecast and discipline, savings strategy and effective decision-making. More thorough interrogation on assumptions when budgeting, monthly updates to Finance on forecasted spend for the year	Ongoing	Exec Head of Finance - Richard Bates, Lead Specialist - Finance - Victoria Worsfold	3	3	9	
2022	Excellence and Customer Service	Financial	CR13	There is a risk that the Council experiences loss of income from local income streams e.g. 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 Planning applications involving land where income is generated (ie car parks)	4	3	12	Sensitivity analysis. Financial monitoring. Reserves	Ongoing	Exec Head of Finance - Richard Bates, Lead Specialist - Finance - Victoria Worsfold	4	2	8	

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2022	Excellence and Customer Service	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, salaries, energy, repairs etc Increase in construction costs if projects slip	6	4	24	Sensitivity analysis. Financial monitoring. Reserves Inter-authority agreement for Guildford/Waverley collaboration Review of service provision, financial prioritisation	Ongoing	Exec Head of Finance - Richard Bates, Lead Specialist - Finance - Victoria Worsfold	6	4	24	
2022	Excellence and Customer Service	Financial	CR15	There is a risk that financial fraud is committed by a resident, staff member, 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	Exec Head of Finance - Richard Bates, Lead Specialist - Finance - Victoria Worsfold	6	4	24	Risk Management Group to review mitigation measures for this risk.
2022	Excellence and Customer Service	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 Lack of agreed data sharing process between the two councils Information Security Officer post is vacant	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	Exec Head of Legal and Democratic Services - Susan Sale	2	4	8	
2022	Excellence and Customer Service	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' or employees' data being shared with the wrong person and could result in financial payment	Council-wide restructure across two organisations requiring managers to access staff records within a different organisation. Human error, failure to observe policy, failure to attend training, technical faults Lack of agreed data sharing process between the two councils Information Security Officer post is vacant	5	1	5	GDPR training included as part of the corporate induction programme Egress System - secure email Close working between HR and ICT and development of structure in Business World. Being considered in discussion re staff sharing	Ongoing	Exec Head of Legal and Democratic Services - Susan Sale Exec Head of Organisational Development - Robin Taylor Executive Head of Communications and Customer Service - Nicola Haymes	4	1	4	Addition to Mitigation Measures
2022	Excellence and Customer Service	Legal/regulatory	CR18	There is a risk that FOIs are not responded to in the legal timeframe	Which could result in a failure to meet our statutory duties and/or legal challenge	Only one officer in the Council coordinates FOIs	4	1	4	Robust monitoring of performance to ensure compliance with target of 90% of responses within legal timeframe	Ongoing	Exec Head of Customer and Communications - Nicola Haymes  Exec Head of Legal & Democratic Services - Susan Sale	3	1	3	Change of responsibility for FOIs
2022	Excellence and Customer Service	Legal/regulatory	CR19	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; Monitoring Officer	Ongoing	Monitoring Officer - Susan Sale Exec Head of Organisational Development - Robin Taylor, Lead Specialist HR - Francesca Chapman	3	1	3	

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2022	Excellence and Customer Service	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 services carried out by a contractor or partner delivered on the Council's behalf, including the Freedom Leisure and Glive contracts	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 and contracts work and activities within its facilities which can be dangerous without proper management, training and application and monitoring e.g. refuse collection and the operation of large machinery, sports and leisure venues.	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; Revised Guide for Managers published 25 September and link circulated to all staff. Managers' Health and Safety refresher course to be re-launched.	Risk assessments are ongoing.	All Exec Heads Corporate Health and Safety Group	2	4	8	Scoring to be reviewed by Risk Management Group in light of additional facilities included in Risk Description
2022	Excellence and Customer Service	Legal/regulatory	CR20	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 - Susan Sale Exec Head of Organisational Development - Robin Taylor, Lead Specialist HR - Francesca Chapman	2	3	6	
2022	Environment	Reputational	CR21	There is a risk that the Council fails to meet its target of becoming net carbon zero by 2030 for the Council's own operations in Scope 1 & 2	Which would result in a missed opportunity to fully 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)	5	3	15	Action plan adopted to provide clear pathway to net zero carbon. A revised carbon reduction trajectory report has been commissioned and is expected later this year, allowing the Council to better forecast its success at reaching the target.	Q2 2022/23	All Exec Heads	5	3	15	Draft scoring, mitigations and Target Dates to be reviewed and agreed by RMG in consultation with the Climate Change Officer
2022	Excellence and Customer Service	Health and Safety	CR22	There is a risk that a member of the public suffers injury or loss of life at a Council property or premises	Which could result in financial loss and reputational impact to the Council.		2	4	8	Corporate Health & Safety Policies in place, including Accident, Occupational Health, Near Miss, Dangerous Occurrence Reporting Procedure; risk assessments completed where/when appropriate Revised Guide for Managers published 25 September and link circulated to all staff. Managers' Health and Safety refresher course to be re-launched.	Managers health and safety refresher courses to be re-launched in November	All Exec Heads Corporate Health and Safety Group Premises Managers	2	4	8	
2022	Excellence and Customer Service	Service delivery	CR23	There is a risk that Council staff or contractual staff take industrial action	Which could result in disruption to service delivery, reputational damage and financial implications	Industrial action being taken across the country. Low level of union membership	2	2	4	Monitor likelihood and impact	Ongoing	Executive Head of Organisational Development - Robin Taylor and HR Lead Specialist - Francesca Chapman	2	2	4	
2022	Excellence and Customer Service	Financial	CR24	There is a risk that the Council does not achieve the most efficiency and value of key IT (service specific) systems for example Business World, Virgin, Salesforce modules	Which could result in less than optimal value for money	Not all modules from key systems are currently <del>not</del> being purchased or <del>not</del> utilised	6	2	12	Paper to CMB containing context and options for resolution Addition of this risk in relevant service risk registers	TBC	All Exec Heads	6	2	12	
2022	Homes and Jobs	Financial	CR25	There is a risk the management and governance processes in place are not fully utilised for all programmes and projects	Which could result in the Council being unable to mitigate costs related to time, quality and budget slippage on capital projects and programmes, resulting in overspend/underspend, lower quality results and delayed projects and programmes.	Scale, complexity and variety of projects and programmes being undertaken by the Council	6	4	24	Improved financial planning at project and programme level and continue to work with Executive Heads and programme/project managers to support them in following governance processes including Enterprise Portfolio Board and Major Projects Board.	Apr-23	Executive Head of Organisational Development - Robin Taylor S151 Officer	4	4	16	
2022	Excellence and Customer Service	Financial	CR26	There is a risk there is a lack of decision making in relation to service delivery in response to the current economic climate and financial challenges	Which could result in overspend, service failure or unsustainable services	Economic circumstances, financial challenges	6	4	24	Budget reviews, service challenge process, development of clear mandates. Select priorities through conversations with lead councillors. Review of service provision. Prioritisation of projects and programmes, committee decisions scheduled on biggest projects and programmes, escalation of projects and programme to EPB	Ongoing	Executive, JMT	4	4	16	

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22.12.2022	Excellence and Customer Service	Financial	CR27	There is a risk that the operating case model isn't applied consistently and effectively across services	Which would result in confusion, inefficiency and inconsistency of outcomes	Current issue in Finance service risk register	4	2	8	Review and undertake outstanding actions with specific services implemented through FG to support case model.		JMT; Executive Head of Communications & Customer Services	3	2	6	
25.01.23	Homes and Jobs	Financial	CR28 (was CR29)	There is a risk that the Council does not spend sufficient RTB receipts	Which would result in having to repay money and reputational damage	Occurred in 2021 Resource/capacity challenges	3	4	12	Project monitoring and delivery of programme	Ongoing	Executive Head of Housing <b>S151 Officer</b>	3	4	12	
2022	Excellence and Customer Service	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)	Exec Head of Community Services, Sam Hutchison	2	4	8	
02.02.23	Excellence and Customer Service	Service delivery	CR30	There is a risk that the current IT model and level of resource is not sufficient or viable for the level of change happening in the organisation	Which would result in impact on the collaboration and/or BAU for the IT team	Current model not sufficient. IT vital enabler to collaboration	6	3	18	Review of governance processes for establishing and approving business priorities taking place autumn/winter 2023 New resource was approved and is in the process of being implemented IT prioritisation workshop 23 March Growth bid submitted		Executive Head of Communications and Customer Service, Nicola Haymes	5	3	15	Mitigations reviewed and Residual Risks scored
06.02.23	Excellence and Customer Service	Financial	CR31	There is a risk that procurement processes are not being adhered to across the Council	Which would result in reduced value for money and lack of financial and legal control	WUV audit findings on lack of proper procurement processes. Projects moving ahead without consulting and fully involving Procurement Finance resources and linked to services	4	4	16	Implementation of Council's project and programme methodology (PPM framework) Financial alignment with PPM framework Enforcement of frameworks and processes		Executive Head of Finance, Richard Bates Executive Head of Regeneration & Planning Policy, Abi Lewis	3	4	12	
18.05.23	Environment	Service delivery	CR32	There is a risk of designation by the Secretary of State for failing to determine the required number of applications within the required timeframes	Reputational damage Retention of Staff Unable to determine our own planning applications Political decision taken away - loss of power/autonomy Council would only be required to issue decisions if made by Govt, and applicant would lose right of appeal Financial uncertainty in future years which would reduce the ability to plan for future years	Difficulty in recruiting permanent planning staff. Reliance on agency staff. Time taken to validate applications.	3	3	9	Quarterly performance monitoring reports to CMB, Executive Briefing and O&S Cttee. Maintaining staff levels. New Planning Development Improvement Board established in response to delegation threat.	Ongoing	Executive Head of Planning Development	2	3	6	Risk reviewed, updated and scored
2022	Excellence and Customer Service	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 an 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	Exec Head of Organisational Development, Robin Taylor	2	3	6	
2022	Excellence and Customer Service	Service delivery	CR5	There is a risk that the Council experiences a loss of IT systems or data, from example as a result of a cyber security incident	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. Multiple databases contained within Salesforce as a single platform	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 Exec Heads Exec Head of Customer and Communications - Nicola Haymes, IT Lead Specialist James Beach Exec Head of Organisational Development - Robin Taylor	2	3	6	
2022	Excellence and Customer Service	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 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 Considering 'grow your own' training programmes Consider fundamental review or recruitment and retention Annual pay negotiations Making use of potential collaboration opportunities	Ongoing	Exec Head of Organisational Development - Robin Taylor, Lead Specialist - HR - Francesca Chapman	6	2	12	

