

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
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 Exec Heads 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 Exec Heads Corporate Health and Safety Group	2	4	8	
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	2	4	8	

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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	Exec Head of Organisational Development	2	3	6	
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 , IT Lead Specialist Exec Head of Organisational Development	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 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, Lead Specialist - HR	6	2	12	
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 or loss of staff, loss of income/increased costs		3	4	12	Covid group meeting regularly Business Continuity and Recovery Plans in place	Ongoing	Exec Head of Organisational Development Exec Head of Regulatory Services	3	3	9	

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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 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	5	4	20	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	Exec Head of Regeneration and Planning Policy Exec Head of Finance	4	4	16	
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, Exec Head of Finance, 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	Exec Head of Regeneration and Planning Policy	3	3	9	
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 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 Saving programme steering group	Ongoing	Exec Head of Finance, Lead Specialist - Finance	3	3	9	

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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	Exec Head of Finance, Lead Specialist - Finance	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, 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, Lead Specialist - Finance	6	4	24	
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	Exec Head of Finance, Lead Specialist - Finance	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 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	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 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	Ongoing	Exec Head of Legal and Democratic Services	4	1	4	
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	3	1	3	
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; Corporate Governance Group Monitoring Officer	Ongoing	Monitoring Officer Exec Head of Organisational Development, Lead Specialist HR	3	1	3	
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	2	3	6	
Reputational	CR21	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	Action plan being drafted 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			0	
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.	Current issue of parkour/roof running and vandalism in town centre on roof of GBC property	4	4	16	Access points assessed, working with neighbouring property owners. Risk assessment completed, liaising with schools, scaffolding to reduce cost of repairs, temporary mobile CCTV, Compliance presence at key times of the day, consideration of gate, insurers visit, Police and community safety involvement.	Nov-22	Exec Head of Commercial Services, Exec Head of Asset Management, Lead Specialist HR (Insurance)	4	4	16	

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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 and HR Lead Specialist	2	2	4	
Financial	CR24	There is a risk that the Council does not achieve the most efficiency and value of key IT systems for example Business World modules	Which could result in less than optimal value for money	Not all modules from key systems are currently being utilised	6	2	12	Paper to CMB containing context and options for resolution Addition of this risk in relevant service risk registers	Jan-23	Exec Head of Finance, Lead Specialist - Finance	6	2	12	
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	Financial forecasting challenges have been reduced as a result of over and underspend trade offs. 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	4	4	16	New risk, draft scoring awaiting agreement by RMG
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				Budget reviews, development of clear mandates	Ongoing	Executive, JMT				New risk, awaiting draft scoring and agreement by RMG

Likelihood

Very high
High
Medium
Low
Very low
Almost impossible

		Impact			
		Small	Significant	Critical	Devastating
		1	2	3	4
6	6	12	18	24	
5	5	10	15	20	
4	4	8	12	16	
3	3	6	9	12	
2	2	4	6	8	
1	1	2	3	4	

	1	2	3	4	5
6	6	12	18	24	
5	5	10	15	20	25
4	4	8	12	16	20
3	3	6	9	12	15
2	2	4	6	8	10
1	1	2	3	4	5

Score	Likelihood	Indicators
1	Almost impossible	Less than 1% chance of occurring Has happened rarely/never before
2	Very low	1-10% chance of occurring Only likely to happen once in three or more years May have happened in the past
3	Low	10-20% chance of occurring Reasonable possibility it will happen in the next three years Has happened in the past
4	Medium	20-50% chance of occurring Likely to happen at some point in the next one-two years Circumstances occasionally encountered
5	High	50-80% chance of occurring Almost certain to happen within next 12 months Regular occurrences frequently encountered
6	Very high	Above 80% chance of occurring Inevitable it will happen within the next 6 months No influence/control over event occurring

Score	Impact	Indicators
1	Small	Loss <£100k Trivial breach or non-compliance Insignificant injury (first aid) Negligible disruption/unnoticed by service users Insignificant damage
2	Significant	Loss from £100k - £250k Isolated legal action or regulatory breach Minor injury (medical attention) Small disruption/inconvenience to service One-off adverse local publicity
3	Critical	Loss >£250k - £500k Sustained legal action or (limited) regulatory fine Serious injury (not life threatening) Substantial, short-term disruption/inconvenience to service Short-term, but wide reaching adverse publicity
4	Devastating	Loss >£500k Major legal action or regulatory sanction Death(s) or multiple serious injuries Major, sustained disruption/serious inconvenience to service Major, long-term damage

Yes

No

Financial

Legal/regulatory

Service delivery

Reputational

Health and Safety