

## Strategic Risk Register - Waverley / Guildford Collaboration

Evaluation as at 17 November 2022

Theme	Risk	Risk No.	Consequence (then...)	Current Control Measures - in place or in flight	Risk Owner	Further planned actions to mitigate to the target Risk Appetite	Current Likelihood	Current Impact on the collaboration	Current Rating	Anticipated rating as at April 2022	Anticipated likelihood Nov 2023	Anticipated impact Nov 2023	Anticipated rating Nov 2023	Residual Likelihood	Residual Impact on the collaboration	Residual Rating
GOVERNANCE	There is a risk that the partnership lacks clear objectives	1	which results in inefficiency and mission creep, which results in stakeholder dissatisfaction and misunderstanding and undermines benefits	<b>Completed:</b> adopt and communicate a shared vision statement; develop the vision statement into clear metrics and expectations, agreed by all partners; implement IAA; JMT roadmap achieved on time. <b>Ongoing:</b> clear road map of actions with milestone dates/goals to be put together; business cases in progress, timetable to be produced	Joint Chief Executive (JCX)	Business case timetable to be approved and business cases agreed and implemented	3 - Low	2 - Significant	Medium	Low	2 - Very Low	2 - Significant	Low	2 - Very Low	2 - Significant	Low
GOVERNANCE	There is a risk that the councils will not <b>continue</b> with any collaboration	2	which results in foregoing any <b>further</b> benefits of partnership, which results in greater pressure on the council's financial challenge and service sustainability. Cost and reputational damage.	<b>Completed:</b> JMT now in place, first stage of collaboration complete. <b>Ongoing:</b> business cases in progress, timetable to be produced; focus more aggressively on each council's individual transformation programme; identify more options for efficiency, income, savings and potentially service reductions.	Joint Chief Executive (JCX)	Inclusion of quarterly gateway reviews at each stage before progressing to the next. Clear business cases to be presented to Council and frequent communications to public re: benefits. Ongoing review to be by the partnership governing board in future.	3 - Low	2 - Significant	Medium	Medium	3 - Low	2 - Significant	Medium	3 - Low	2 - Significant	Medium
GOVERNANCE	There is a risk that the two councils disagree on an important aspect of the partnership	3	which results in dissatisfaction with the partnership and mistrust, which results in the partnership ending or being delayed.	<b>Completed:</b> agreed vision statement that is reviewed at least annually by both council Executives; an agreed Inter-Authority Agreement (IAA) which sets out protocols for dispute resolution and termination with an appropriate notice period. <b>Ongoing:</b> quarterly progress updates to O&S at each authority on progress of the collaboration; CMB members in close contact with key councillors	Joint chief Executive/Leaders	Regular opportunities for councillors to meet across boundaries, both formally and informally. Continue with Joint Governance Committee, reviewing IAA on a regular basis	3 - Low	2 - Significant	Medium	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low
GOVERNANCE	There is a risk that costs and savings will not be apportioned fairly	4	which results in mistrust, which results in dispute and distraction.	<b>Completed:</b> a clear, early and agreed mechanism for cost and savings apportionment, enshrined in the IAA; regular clear accounting of savings and costs to the relevant committees. <b>Ongoing:</b> preparation & approval of business cases for collaboration beyond SMT.	Joint S151 Officer	Business case development for opportunities identified and agreed by both councils.	3 - Low	2 - Significant	Medium	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low
GOVERNANCE	(Newly added risk) There is a risk that JMT resource will not be apportioned fairly	5	which results in mistrust, which results in dispute and distraction.	<b>Completed:</b> Joint S151 in place and weighted cost sharing protocols agreed for JMT members. <b>Ongoing:</b> close monitoring during familiarisation period whilst new structure embeds	Joint S151 Officer		5 - High	2 - Significant	High	Medium	5 - High	2 - Significant	High	3 - Low	1 - Small	Low
GOVERNANCE	There is a risk that either or both councils will decide to terminate the partnership	6	Which results in lower-than-expected benefits realisation and reputational harm.	<b>Completed:</b> Clear agreement of priorities and objectives; JMT in place, partnership is sufficiently in place to mitigate this likelihood; clear clauses on termination in the IAA with an appropriate notice period to allow for transition. <b>Ongoing:</b> regular contact between councillors in the Executives and wider Councils; proactive communications with all stakeholders and the public; strong governance and oversight as per the IAA requirements.	Joint chief Executive/Leaders	Ensure mechanism in governance arrangements for backbench councillor input.	2 - Very Low	4 - Devastating	Medium	Medium	2 - Very Low	4 - Devastating	Medium	2 - Very Low	4 - Devastating	Medium

## Strategic Risk Register - Waverley / Guildford Collaboration

evaluation as at 17 November 2022

Theme	Risk	Risk No.	Consequence (then...)	Current Control Measures - in place or in flight	Risk Owner	Further planned actions to mitigate to the target Risk Appetite	Current Likelihood	Current Impact on the collaboration	Current Rating	Anticipated rating as at April 2022	Anticipated likelihood Nov 2023	Anticipated impact Nov 2023	Anticipated rating Nov 2023	Residual Likelihood	Residual Impact on the collaboration	Residual Rating
GOVERNANCE	There is a risk that future political change leads to a serious change of partnership direction	7	Which results in a change in direction or a termination, which could lessen or increase benefits of collaboration.	<b>Ongoing:</b> engage all councillors throughout the transition process, with openness among all participants; identify where the disagreements and different priorities exist and be ready to adapt to them should a change occur.	Joint chief Executive/Leaders	Prepare communication plan about collaboration for councillors around election cycles to ensure the new intake are aware of the collaboration and address concerns. Establish aims/vision of partnership at early stage of each new municipal cycle. Current likelihood based on elections being in May 2023. Target likelihood reflects risk occurs every election cycle of 3-4 years	4 - Medium	3 - Critical	High	High	4 - Medium	3 - Critical	High	2 - Very Low	3 - Critical	Low
CAPACITY/RESOURCES	There is a risk that officer capacity will be over-stretched during the transition	8	Leading to lack of focus, which results in negative impacts on service delivery, partnership progress and morale.	<b>Ongoing:</b> build in investment during the earlier phases, potentially including external support; set clear timetable and pace, agreed by both councils, with appropriate resources and succession planning; develop early a programme of HR support for resilience, strategies for dealing with change, and team building.	Joint Management Team	Need clearly funded invest to save strategy for collaboration project. Additional staff resource procured to support key aspects of the project (e.g., HR and ICT consultancy resource) Create a single shared programme management team at the start. Appropriate business support to be put in place. Change to culture of councillors and officers to focus on prioritisation to support delivery of collaboration	4 - Medium	3 - Critical	High	Medium	4 - Medium	3 - Critical	High	5 - High	2 - Significant	High
CAPACITY/RESOURCES	There is a risk that the collaboration will impact on current projects/programmes which be delayed by diversion of capacity.	9	Leading to delays in achieving key objectives, which results in harm to the beneficiaries of those programmes.	<b>Ongoing:</b> individual council work programmes and corporate/service plans in place; clear programme management and reporting to senior management and councillors on progress of current service plans.	Joint Management Team	Early investment in the partnership so that it is not displacing resource from other key priorities. Review with councillors the existing priorities and agree where displacement may take place in a planned and agreed way.	4 - Medium	2 - Significant	Medium	Medium	4 - Medium	2 - Significant	Medium	3 - Low	2 - Significant	Medium
CAPACITY/RESOURCES	There is a risk that due to concerns about the collaboration, knowledgeable officers may leave and we fail to recruit in a buoyant market.	10	Leading to missing information and dilution of 'corporate memory', which results in delays and confusion. Capacity gaps leading to service failure and impact on other staff	<b>Ongoing:</b> individual council handover arrangements and procedure/process notes already in place; effective management of, and communication with, key staff; clear process and time for 'downloading' corporate knowledge from those that may leave; clear and consistent record-keeping and retention; transition plans to be documented; clearly documented hand-over and succession processes for when officers leave.	Joint Chief Executive	Continue to monitor the staff changes across the partnership particularly at management level. HR programme for management succession planning, recruitment, retention and reward.	4 - Medium	2 - Significant	Medium	Medium	4 - Medium	2 - Significant	Medium	3 - Low	2 - Significant	Medium
CAPACITY/RESOURCES	There is a risk that one council's priorities will (or will be perceived to) dominate for a period	11	Which could result in conflict amongst members, resentment and potential dissolution of the partnership	<b>Ongoing:</b> regular communication with both Executives on specific local issues and priorities that arise; Joint S151 in place and weighted cost sharing protocols agreed for JMT members.	Joint Chief Executive (JCX)	Cultural strategy to 'work together'. Joint communications plan with equality at the core. Shared annual business plans for each service agreed by the councils, clearly articulating the apportionment on planned projects.	4 - Medium	2 - Significant	Medium	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low

## Strategic Risk Register - Waverley / Guildford Collaboration

evaluation as at 17 November 2022

Theme	Risk	Risk No.	Consequence (then...)	Current Control Measures - in place or in flight	Risk Owner	Further planned actions to mitigate to the target Risk Appetite	Current Likelihood	Current Impact on the collaboration	Current Rating	Anticipated rating as at April 2022	Anticipated likelihood Nov 2023	Anticipated impact Nov 2023	Anticipated rating Nov 2023	Residual Likelihood	Residual Impact on the collaboration	Residual Rating
CAPACITY/RESOURCES	There is a risk that working across two councils leads to increased travel	12	Which results in wasted time and negative impact on the environment.	<b>Ongoing:</b> encourage video-conferencing and home working	Joint Management Team	Standardised approach to hybrid working across both authorities. Committee scheduling to be combined. Single location should be considered for any shared service and tools and systems harmonised. Consistent policies and training for standardised video-conferencing and home working Consider further expanding electric vehicles within the fleet(s). Progress a project for considering a single office to serve both councils. Agreed protocol aimed at reducing multiple officer attendance at committees as well as consideration of earlier committee meeting start times e.g. 6pm and the implementation of guillotine time restriction	2 - Very Low	1 - Small	Low	Low	2 - Very Low	1 - Small	Low	2 - Very Low	1 - Small	Low
FINANCIAL	There is a risk that expected savings cannot be realised at one or both councils,	13	Which results in unexpected further pressure on services and undermines the partnership.	<b>Ongoing:</b> regular communication to both councils as to plans and progress; agreed IAA; JMT savings have been achieved; Joint S151 has been appointed and working towards standard financial reporting; criteria for business cases are being developed and will include cost sharing prior to approval	Joint Management Team	Standard financial reporting, forecast and assumptions to be used. Robust business cases documenting allocation of costs and savings. Standardisation of business cases and project management methodology. Detailed business cases to verify the savings identified in the LPP financial feasibility study. Savings based on movement from 2021-22 base budget for each council.	3 - Low	3 - Critical	Medium	Medium	4 - Medium	3 - Critical	High	3 - Low	3 - Critical	Medium
FINANCIAL	There is a risk that transition costs are prohibitively high (e.g. IT, accommodation)	14	which results in a threat to the viability of some aspects of the collaboration for either or both councils, which results in an unviable partnership and reputational impact.	<b>Ongoing:</b> clear communication with councillors and the public throughout the partnership; formation of ICT board to consider plans moving forward for a harmonised/reconciled ICT platform or working with both current platforms	Joint Management Team	Sensitivity analysis on estimates. Councillor involvement in working groups to look at each service/business case Identify and include transition costs in business cases as they are developed. Agree and document a common approach to rate-of-return and cost/benefit sharing. Change the phasing of transition to reduce the impact of unexpected new costs that arise. Focus first on those areas that present the biggest 'wins'.	3 - Low	3 - Critical	Medium	Medium	3 - Low	3 - Critical	Medium	2 - Very Low	2 - Significant	Low
SYSTEMS	There is a risk that different HR and service policies lead to confusion and duplication,	15	resulting in inefficiency or failures of governance	<b>Completed:</b> decision made on employment policies that will apply to members of the JMT <b>Ongoing:</b> strong engagement with unions	Joint Management Team	Strong combined target operating model and cultural framework. Review learning points from GBC's recent transformation and consider at next HR session. A programme of policy harmonisation wherever possible, recognising that this huge task will take time. A single shared intranet hub for managers to consult policies, with cross-references where they are different. Regular communication of policy changes.	4 - Medium	2 - Significant	Medium	Low	3 - Low	1 - Small	Low	2 - Very Low	1 - Small	Low

## Strategic Risk Register - Waverley / Guildford Collaboration

evaluation as at 17 November 2022

Theme	Risk	Risk No.	Consequence (then...)	Current Control Measures - in place or in flight	Risk Owner	Further planned actions to mitigate to the target Risk Appetite	Current Likelihood	Current Impact on the collaboration	Current Rating	Anticipated rating as at April 2022	Anticipated likelihood Nov 2023	Anticipated impact Nov 2023	Anticipated rating Nov 2023	Residual Likelihood	Residual Impact on the collaboration	Residual Rating
SYSTEMS	There is a risk that support functions and processes remain disparate during the collaboration leading to mis-application of policies/processes.	16	resulting in confusion and potential challenge to decision-making.	<b>Completed:</b> Vision statement for both authorities contains the commitment to harmonise internal policies and procedures unless there is good reason not to <b>Ongoing:</b> strong and regular communication from the senior political and management	Joint Management Team	Strong combined target operating model and cultural framework. A plan for an early harmonisation of HR, IT and change management functions and key policies, with accompanying significant financial investment. A single intranet	3 - Low	2 - Significant	Medium	Low	3 - Low	1 - Small	Low	2 - Very Low	1 - Small	Low
SYSTEMS	Failure to address the different legacy IT platforms	17	Leads to duplication within a shared service results in inefficiency, anxiety and cost.	<b>Ongoing:</b> review the costs and benefits of the current IT systems and their current contractual obligations; formation of ICT Strategy Board	Joint Management Team	Prioritise the transition programme based on the cost/benefit analysis. Develop a new shared IT strategy that is focused on supporting the partnership and identify the resources required and return-on investment that is possible	5 - High	3 - Critical	High	High	5 - High	3 - Critical	High	3 - Low	2 - Significant	Medium
CULTURE	There is a risk that councillors do not feel ownership of the collaboration	18	which results in mistrust and concerns about sovereignty, which results in destabilisation of the partnership.	<b>Completed:</b> clear and agreed governance principles and processes, including how councillors will be engaged in decision-making and scrutiny via existing committees or, if desired, shared committees. <b>Ongoing:</b> regular communication with councillors, parish councils and the public; JMT attending regular committees and boards, as well as networking meetings in both councils	Joint chief Executive/Leaders	Harmonisation of roles and terms of reference of key council committees across councils e.g., CGSC / Audit committee ToRs to be similar. A joint comms strategy.	4 - Medium	2 - Significant	Medium	Medium	4 - Medium	2 - Significant	Medium	3 - Low	2 - Significant	Medium
CULTURE	There is a risk that councillors will perceive that officers are less available to them	19	which results in delays and dissatisfaction, which results in harm to the how councillors perform in their role	<b>Ongoing:</b> clear expectations to be agreed, acknowledging that shared staff serving two councils may sometimes not be available; ensure that support to affected senior managers, via technology and assistants, is in place and supported adequately; consider developing a SLA between councillors and officers; JMT attending regular committees and boards, as well as networking meetings in both councils	Joint chief Executive/Leaders	Guidance to be issued to councillors on how to make contact. Clear protocols on accessibility and building of resilience across officer tiers, so that the critical ward councillor role is prioritised throughout any transitions.	4 - Medium	2 - Significant	Medium	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low
CULTURE	There is a risk that different officer cultures and organisational structures may hinder collaboration	20	which results in lack of prioritisation for the changes required, which results in delay, inefficiency and dissatisfaction.	<b>Completed:</b> recruitment of JMT clear direction from senior political and officer leadership. <b>Ongoing:</b> investment in engagement, communication, training and support through times of change; formal agreements are being pursued for initial staff sharing arrangements	Joint Management Team	Strong joint Organisational Development & Cultural framework along with performance management framework. Councillors to show leadership to support the collaboration. Recruitment of joint officers to reflect the required culture subject to business cases An articulated change strategy including expected behavioural norms.	3 - Low	2 - Significant	Medium	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low
CULTURE	There is a risk that officers may not trust those from the 'other' council	21	which results in failure to share key information and attrition, which results in delay and unhealthy cultures and behaviour.	<b>Ongoing:</b> clear direction from the political and senior management leadership as to the way forward; good communication and support/training for employees on how to work well during change and transition.	Joint Chief Executive	Strong joint Organisational Development & Cultural framework along with performance management framework. Councillors to show leadership to support the collaboration. Harmonise performance management processes.	3 - Low	2 - Significant	Medium	Low	2 - Very Low	2 - Significant	Low	2 - Very Low	1 - Small	Low

## Strategic Risk Register - Waverley / Guildford Collaboration

evaluation as at 17 November 2022

Theme	Risk	Risk No.	Consequence (then...)	Current Control Measures - in place or in flight	Risk Owner	Further planned actions to mitigate to the target Risk Appetite	Current Likelihood	Current Impact on the collaboration	Current Rating	Anticipated rating as at April 2022	Anticipated likelihood Nov 2023	Anticipated impact Nov 2023	Anticipated rating Nov 2023	Residual Likelihood	Residual Impact on the collaboration	Residual Rating
CULTURE	There is a risk that employees will become increasingly anxious	22	which results in negative impacts on morale, which results in impact on service delivery, mental health concerns and loss of staff	<b>Ongoing:</b> a clear direction of travel from the political leaderships, with messages delivered consistently and clearly; regular communication from senior management and transparency with employees and unions about the plans, progress and impact on affected staff; review regularly the impact on service performance and be prepared to support and resource accordingly; continue with effective communication and briefing of staff and Councillors. Monitor exit interviews & recruitment data; investment in HR support	JCX / HR Managers	Progress to be swift so period of uncertainty minimised. Costing will affect this	4 - Medium	2 - Significant	Medium	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low
CULTURE	There is a risk that current programmes or past decisions are being implemented in a fixed way which constrains partnership options	23	Which results in compromises in the short term and failure to achieve the collaboration aims.	<b>Ongoing:</b> clear communication with the Executives; be prepared to be bold if the business case holds, with an agreed process for cost-sharing if necessary; phase the partnership accordingly; assessing partnership risk of collaboration opportunities	Joint Management Team	Review and clearly assess how far there are new opportunities, as well as constraints, arising from legacy decisions; whether they permit or block a 'best of breed' approach and for how long.	3 - Low	2 - Significant	Medium	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low
EXTERNAL	There is a risk that residents/businesses will be confused between the two councils' services	24	Leading to miscommunication, which results in inefficiency	<b>Completed:</b> clear communication on the nature and extent of the partnership, and the continuing importance of the role of ward councillors; points of access to access services need to be clear - e.g., Guildford residents can still access via GBC website and same for Waverley.	JCX / Comms Leads	Review customer service points of access. ICT synchronisation so that customers notice no change. A clear branding strategy to reflect the Councils' agreed priorities and approach.	4 - Medium	2 - Significant	Medium	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low
EXTERNAL	There is a risk that unexpected external events impact the collaboration	25	lead to significant diversion of attention, which results in delays to the partnership transition	<b>Completed:</b> JMT recruited. <b>Ongoing:</b> clearly documented progress of the partnership; other collaboration agreements are being considered	Joint Management Team	An early and agreed plan for handling such an unexpected external event, and a protocol for slowing or pausing the partnership.	4 - Medium	3 - Critical	High	High	4 - Medium	3 - Critical	High	4 - Medium	2 - Significant	Medium
EXTERNAL	There is a risk that the Government will restart 'local government reorganisation' leading to structural uncertainty and diversion from the collaboration's priorities	26	Which results in the abolition of the two councils and disruption to service delivery.	<b>Ongoing:</b> given that any future model is likely to include Guildford and Waverley within the same structure, plan the current collaboration so that it could also adapt to and be a strong voice within a new enforced unitary; regular communication with other government stakeholders (councils, DULHC, MPs) on the progress of this partnership.	JCX / Leaders		2 - Very Low	3 - Critical	Low	High	2 - Very Low	3 - Critical	Low	3 - Low	3 - Critical	Medium