

The Leadership Risk Register is the top 10 corporate risks. The Risk Evaluation Matrix provides guidance on scoring probability and impact. The residual risk are shown on the Summary Table below

| Probability | 1 | 2 | 3 | 4 | 5 | |
|----------------|---------------|-------|---------------|--------|--------------------|--------|
| Almost Certain | | | | | | 5 |
| Probable | | | L6 | L1, L4 | | 4 |
| Possible | | | L5, L7,L8, L9 | L2, | L3 ,L10 | 3 |
| Unlikely | | | | | | 2 |
| Rare | | | | | | 1 |
| | Insignificant | Minor | Moderate | Major | Highly significant | Impact |

| Ref | Description of Risk/ Opportunity | Rating | Risk Level | Mitigation in place | Accountable Officer & Accountable Group | Link to Corporate Priorities 2016-20 | Residual Risk | Residual Rating | Direction of Travel |
|-----|---|--------|------------|---|---|--|------------------|--------------------|------------------------|
| L1 | Financial Pressures and the ability to delivery further savings | 20 | High | Continue delivering a balanced budget through the Medium Term Financial Strategy and the Income Generation and Enterprise Plan Further Star Chambers to identify further savings across all departments Evaluate outcome of the Fair Funding Review | Chief Finance Officer the with efficiencies being delivered by Heads of Service & Board Leadership Team & Income Gen Board | Managing Resources Delivering further efficiency savings and cost reductions | 16 | High | No change as L1 |
| L2 | Organisational Capacity - Resilience within the workforce and managing services | 16 | High | Independent Job evaluations being undertaken Analyse the risks in key services and develop handling plans to improve resilience Continue to monitor sickness levels and staff turnover Behaviour Framework Jobs go public link | Leadership Team and Head of HR & Org Dev. Leadership Team | Managing Resources Developing multi skilled & motivated staff & delivering further efficiency savings and cost reductions | 12 | High | No change as L2 |
| L3 | Delivering and implementing the Local Plan and the 5 year land supply | 25 | High | Work programme to deliver updated supporting plans (economic, environmental and housing strategies Housing Delivery Action Plan) Further consultation and engagement will occur in September | Leadership Team L&PPC | Underpinning all Corporate Priorities. Statutory requirement. | 15 | High | No change as L3 |

| | | | | | | | | | |
|----|---|----|------|---|---|--|----|------|-----------------|
| L4 | Failure to deliver stability, substantial and complex changes and ensure systems and data are safe from any cyber security risks | 25 | High | ICT new ways of working group carry out governance ICT Road Map and Priority actions Migration to new servers/datacentre in June Ongoing work on Disaster recovery and business continuity | Head of Revs , Bens & IT Council | Underpinning all Corporate Priorities. | 16 | High | No change as L4 |
| L5 | Failure to deliver quality major planning decisions consistently which could lead to designation | 16 | High | Training to members of the Planning Committee Support from Planning Advisory Service | Head of Planning Planning New Ways of Working Group | Statutory requirement | 9 | Med | Reduced to Med |
| L6 | Impact on residents, key partners & the Borough from Surrey County Council Transformation Agenda and pressure on Council's services | 25 | High | SCC are facing significant financial challenges and the implications to the Council are under review both financial, reduced services and demands affecting service we deliver | Chief Operating Officer Surrey Transformation Group | All Corporate Priorities | 12 | High | New Risk |
| L7 | A lack of capacity and skills to deliver the commercialisation and enterprise agenda | 16 | High | Continue to review and develop skills and resources. Clear project plan Transition to an income generation focus Monitor impact on Health & Safety implications in operation buildings | Leadership Team and Head of HR & OD. Leadership Team/ HR Panel | Developing multi skilled & motivated staff | 9 | Med | No change as L7 |

| | | | | | | | | | |
|-----|---|----|------|---|---------------------------------|--|----|------|-----------------|
| L8 | NEW - Delivery of an asset management plan to ensure our assets support the achievement of the council's objectives and the services provided | 16 | Med | Property & Regeneration Board govern this programme | Head of Prop & Regeneration S&R | Supporting and enabling the delivery of affordable homes | 9 | Med | No change as L8 |
| L9 | NEW Aligning business objectives with local plan growth | 12 | High | As part of the Local Plan development agree direction of growth Review of service capacity to deliver growth Property & Regen Board work programme | Leadership Team | Statutory requirement. | 9 | Med | New Risk |
| L10 | NEW Review of the arrangements for the Great Pond Reservoir | 20 | High | The Council has a duty to maintain; prevent the dam from failing and to contain and reduce the consequence of failure. Plan to be updated and an exercise held | Head of Operational Services | Statutory requirement. | 15 | High | New risk |

Defined Strategic Risk Levels Risk Evaluation Matrix

The tables below give guidance on assessing risks on a scale of 1 to 5 in terms of their probability and their impact. These give broad range of risks to provide consistency across all risk registers. However you may have additional criteria that you want to consider in assessing a risk. The risks is scored without taking into consideration of the score in place - “**a natural or inherent risk**” and then scored taking into account the control measures or mitigation measures in place these are referred to as the, “Residual Risks”

| Probability Score | 1 | 2 | 3 | 4 | 5 |
|--------------------------|--|------------------------------|------------------------------------|--|--|
| Description | Rare | Unlikely | Possible | Probable | Almost Certain |
| Frequency | This will probably never happen or occur | Not expected to happen/occur | Might happen or occur occasionally | Will probably happen/ occur but it is not a persisting issue | Will undoubtedly happen/ occur , possibly frequently |
| Likelihood | Less than 5% chance | Around 10% chance | Around 25% chance | Around 60% chance | Around 90% chance |

| Impact Score | 1 | 2 | 3 | 4 | 5 |
|---------------------|--|--|---|--|--|
| Descriptor | Insignificant | Minor | Moderate | Major | Highly significant |
| Employees | No impact on staff or service delivery | Short term low staffing Temporary reduction in service No impact on staff morale | Medium term staffing issues Loss of experienced staff to deliver services Minor staff dissatisfaction | Late delivery of key services Lack of experienced staff Low morale | Non delivery of key objectives High impact on services Very low morale |
| Finance | Minimal financial implication Below £25,000 | Budget pressures < £25 k to £100k | Budget pressures between £100,000 and £200,000 | Budget risk £200k to £500k Loss of income | Significant loss of income more than 10% budget Not covered by insurance Budget risk over £500,000 |

| | | | | | |
|---|---|---|--|--|---|
| Statutory duties/Legislation | Minimal or no impact | Minor breach Reduced rating if unresolved | Single breach if statutory duty Challenging external recommendations | Several breaches Enforcement action or improvement notices Critical report Low performance rating | Multiple breaches Prosecution for Judicial Review Service collapse |
| Projects/ Programmes | Little/no slippage no threat to outcomes | Some minor issues with the project | Some risk to the delivery of the project but actions to mitigate | Major impact on delivery/timeframe/ costs | Serious threat to the delivery of the project |
| Health& Safety- impact on the safety and well-being of the public and staff | No ill effects | Short lived/minor injury or illness that may require first aid assistance Small number of work days lost | Moderate injury/ill effects requiring hospitalisation. Risk of prosecution from enforcement agencies | Single fatality and or long term illness or multiple serious injuries RIDDOR reporting? | Multiple and /or multiple incidences or permanent disability or ill health. |

The above is not prescriptive criteria, but a guidance tool for management.

Assurance levels of the controls scored 1 to 5

Strength of controls is scored on a scale of 1(low) to 5 (high) to identify what is in place to mitigate the risks including controls, processes, action plans and targets.