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To: All Members of the **PERFORMANCE AND FINANCE SCRUTINY COMMITTEE**

The following papers have been added to the agenda for the above meeting.

They were not available for publication with the rest of the agenda.

Yours sincerely

Karen Whelan

Chief Executive

SUPPLEMENTARY PAPERS

	Pages
8 Corporate Risk	3 - 6

To receive and comment on a report setting out the Council's Corporate Risk Register.

Since the agenda was originally published the Council's Corporate Risk Register has been revised and updated. The document in this supplement replaces the Risk Register published in the original agenda.

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SURREY HEATH BOROUGH COUNCIL



CORPORATE RISK REGISTER – March 2019

This register summarises the main risks faced by the Council in relation to achieving the objectives and priorities as defined in the Council’s Corporate Plan. It also notes the current mitigation action being taken to control those risks, and identifies any further action needed to implement other necessary mitigation action. The register does not identify all risks, but seeks to highlight the relevant main strategic risks.

Introduction

The following summary matrix shows at high level overview the key risks faced by the Council, and their initial rating. Those above the line of acceptable risk (the shaded area) have further mitigating action to bring them within the line.

Summary Matrix – key strategic risks after mitigation

Likelihood 4 Very Likely (>80%) 3 Likely (50% - 80%) 2 Possible (10% - 50%) 1 Unlikely (<10%)				
		Supplier Failure		
		Information Management Business Continuity Loss of funding	Treasury and Property Investment Major Incident	Two tier arrangements
		Capacity and Resilience	Enforcement Actions	
Impact	1 Low (< £10k)	2 Moderate (£10k to £200k)	3 Major (£200k to £1m)	4 Severe (>£1m)

	RISK	Likelihood	Impact	Initial Rating	Mitigation	Ownership	Revised Likelihood	Revised Impact	Revised Rating
1.	Information Management, Data Sharing and Data Security Loss or misuse of data leading to a breach of legislation and fines.	3	4	12	Paper and electronic data management systems; document and record retention policy; system to respond to data access requests; archiving system; training for all staff on data security. Data and Security breaches policy and procedure approved by Council. Data sharing protocol in place. Mandatory regular training of all staff on Data Security. Appointment of Data Protection Officer	KL	2	2	4
2.	Loss of Funding for Services Loss of funding from Government, County and partners leads to the Council being unable to provide services	2	3	6	The Council has embarked on an investment strategy to generate income from other sources. Services which are not funded may have to be reviewed	KM	2	2	4
Page 5	Business continuity systems and processes – to plan for dealing with challenges to the continuity of the Council's business to ensure the effects on the community in such cases are mitigated as much as is practicable	2	3	6	Business Impact Assessments and Business Continuity Plans have been updated by all services and tested to ensure they are current and all critical functions are covered. Joint resilience structure in place to deal with potential Brexit issues	TP	2	2	4
4.	Failure of Major contractor or supplier Major contractor, such as for refuse disposal goes in to liquidation	3	3	9	Company likely to be taken over rather than close. Major contracts have guarantee provisions and step in rights. In house team able to take on management in an emergency	TP	3	2	6

	RISK	Likelihood	Impact	Initial Rating	Mitigation	Ownership	Revised Likelihood	Revised Impact	Revised Rating
5.	Major Incident Major incident may directly or indirectly affect the Council's ability to deliver services	2	4	8	All services have up to date emergency plans and exercises are held regularly to test preparedness. Have mutual aid arrangements in place with other Surrey authorities	TP	2	3	6
6.	Treasury and Property Investment Volatility in investment values and income driven by market forces. Adverse movements in interest rates leading to financial pressure	2	4	8	Investments only made on advice of professional advisors and after due diligence. Properties are professionally managed to maintain income. Investments are diversified and held for longer term. Future interest rate fixed for proportion of debt to bring certainty of cost. Properties are being held for the long term so as to smooth out fluctuations in value	KW	2	3	6
Page 6	Contaminated Land Contamination leads to environmental damage that then needs to be cleaned up	2	3	6	Detailed surveys undertaken with monitoring put in place as required	TP	1	3	3
8.	Major Enforcement Actions Breaches of regulatory functions could lead to reputational and environmental damage	3	2	6	Action taken to address breaches to minimise risks together with effective partnership working in multiagency areas	JR	2	2	4
9.	Two Tier Arrangements Financial pressures at County may lead to Local Government reorganisation in Surrey	2	4	8	Work with Surrey to address its financial challenges.	KW	2	4	8

Key to initials

KW – Karen Whelan – Chief Executive
 RP – Richard Payne – Executive Head of Corporate;
 KM – Kelvin Menon – Executive Head of Finance
 TP – Tim Pashen - Executive Head of Community;
 KL – Karen Limmer – Head of Legal Services

LL – Louise Livingston – Executive Head of Transformation
 JR – Jenny Rickard – Executive Head of Regulatory