

Strategic Risk Register - Waverley / Guildford Collaboration

Evaluation as at 23 Feb 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	12 month interim likelihood	12 month interim impact on the collaboration	12 month interim Rating	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	Adopt and communicate a shared vision statement. Develop the vision statement into clear metrics and expectations, agreed by all partners.	Joint Chief Executive (JCX)	Clear road map of actions with milestone dates/goals to be put together	3 - Low	2 - Significant	Medium	2 - Very Low	2 - Significant	Low	2 - Very Low	2 - Significant	Low
GOVERNANCE	There is a risk that the councils will not proceed with any collaboration	2	which results in foregoing any of the potential benefits of partnership, which results in greater pressure on the council's financial challenge and service sustainability. Cost and reputational damage.	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 e.g., SMT restructure to be reported to Council for approval. 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.	4 - Medium	3 - Critical	High	3 - Low	3 - Critical	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.	An agreed vision statement that is reviewed at least annually by both council Executives. An early agreed Inter-Authority Agreement (IAA) which sets out protocols for dispute resolution and termination with an appropriate notice period.	Joint chief Executive/Leaders	Agree IAA by April 22. Regular opportunities for councillors to meet across boundaries, both formally and informally. Quarterly progress updates to group leaders at each authority on progress of the collaboration.	4 - Medium	3 - Critical	High	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.	A clear, early and agreed mechanism for cost and savings apportionment, enshrined in the IIA. Regular clear accounting of savings and costs to the relevant committees. Preparation & Approval of Business Cases for collaboration beyond SMT.	S151 Officers	Ensure the IAA covers this robustly. Business case development for opportunities identified and agreed by both councils. The IAA is agreed by both Councils.	4 - Medium	2 - Significant	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low
GOVERNANCE	There is a risk that either or both councils will decide to terminate the partnership	5	Which results in lower-than-expected benefits realisation and reputational harm.	Regular contact between councillors in the Executives and wider Councils. Clear agreement of priorities and objectives. Clear clauses on termination in the IIA with an appropriate notice period to allow for transition. Proactive communications with all stakeholders and the public.	Joint chief Executive/Leaders	Strong governance and oversight as per the IAA requirements. Ensure mechanism in governance arrangements for backbench councillor input.	2 - Very Low	4 - Devastating	Medium	2 - Very Low	4 - Devastating	Medium	2 - Very Low	4 - Devastating	Medium
GOVERNANCE	There is a risk that future political change leads to a serious change of partnership direction	6	Which results in a change in direction or a termination, which could lessen or increase benefits of collaboration.	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	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	7	Leading to lack of focus, which results in negative impacts on service delivery, partnership progress and morale.	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. Create a single shared programme management team at the start.	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)	4 - Medium	3 - Critical	High	3 - Low	3 - Critical	Medium	2 - Very Low	2 - Significant	Low
CAPACITY/RESOURCES	There is a risk that the collaboration will impact on current projects/programmes which be delayed by diversion of capacity.	8	Leading to delays in achieving key objectives, which results in harm to the beneficiaries of those programmes.	individual council work programmes and corporate/service plans in place	Joint Management Team	Early investment in the partnership so that it is not displacing resource from other key priorities. Clear programme management and reporting to senior management and councillors on progress of current service plans. Review with councillors the existing priorities and agree where displacement may take place in a planned and agreed way.	5 - High	2 - Significant	High	4 - Medium	2 - Significant	Medium	2 - Very Low	2 - Significant	Low

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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.	9	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	individual council handover arrangements and procedure/process notes already in place. Effective management of, and communication with, key staff	Joint Chief Executive	Clearly documented hand-over and succession processes for when officers leave. 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.	4 - Medium	2 - Significant	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	2 - Significant	Low
CAPACITY/RESOURCES	There is a risk that one council's priorities will (or will be perceived to) dominate for a period	10	There is a risk that one council's priorities will (or will be perceived to) dominate for a period	A clear agreed mechanism for how officer capacity is shared over time. Shared annual business plans for each service agreed by the councils, clearly articulating the apportionment on planned projects. Regular communication with both	Joint Chief Executive (JCX)	Ensure the IAA covers this robustly. Cultural strategy to 'work together'. Joint communications plan. Joint communications plan with equality at the core.	3 - Low	2 - Significant	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low
CAPACITY/RESOURCES	There is a risk that working across two councils leads to increased travel	11	Which results in wasted time and negative impact on the environment.	Encourage video-conferencing and home working, supported by the consistent policies and training. Consider further expanding electric vehicles within the fleet(s). Progress a project for considering a single office to serve both councils.	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.	2 - Very Low	1 - Small	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,	12	Which results in unexpected further pressure on services and undermines the partnership.	Regular communication to both councils as to plans and progress.	Joint Management Team	Agreed IAA. 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.	4 - Medium	3 - Critical	High	3 - Low	3 - Critical	Medium	2 - Very Low	3 - Critical	Low
FINANCIAL	There is a risk that transition costs are prohibitively high (e.g. redundancy, IT, accommodation),	13	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.	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'. Clear communication with councillors and the public throughout the partnership	Joint Management Team	Sensitivity analysis on estimates. Councillor involvement in working groups to look at each service/business case	3 - Low	3 - Critical	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,	14	resulting in inefficiency or failures of governance	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. 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	4 - Medium	2 - Significant	Medium	3 - Low	1 - Small	Low	2 - Very Low	1 - Small	Low
SYSTEMS	There is a risk that support functions and processes remain disparate during the collaboration leading to mis-application of policies/processes.	15	resulting in confusion and potential challenge to decision-making.	Strong and regular communication from the senior political and management teams, with employees and unions. A single intranet.	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.	4 - Medium	2 - Significant	Medium	3 - Low	1 - Small	Low	2 - Very Low	1 - Small	Low
SYSTEMS	Failure to address the different legacy IT platforms	16	Leads to duplication within a shared service results in inefficiency, anxiety and cost.	Review the costs and benefits of the current IT systems and their current contractual obligations.	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	4 - Medium	3 - Critical	High	2 - Very Low	2 - Significant	Low

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CULTURE	There is a risk that councillors do not feel ownership of the collaboration	17	which results in mistrust and concerns about sovereignty, which results in destabilisation of the partnership.	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. Regular communication with councillors, parish councils and the public through a joint comms strategy.	Joint chief Executive/Leaders	Harmonisation of roles and terms of reference of key council committees across council's e.g., CGSC / Audit committee ToRs to be similar.	4 - Medium	2 - Significant	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	18	which results in delays and dissatisfaction, which results in harm to the how councillors perform in their role	Clear expectations to be agreed, acknowledging that shared staff serving two councils may sometimes not be available. Clear protocols on accessibility and building of resilience across officer tiers, so that the critical ward councillor role is prioritised throughout any transitions. Ensure that support to affected senior managers, via technology and assistants, is in place and supported adequately.	Joint chief Executive/Leaders	Guidance to be issued to councillors on how to make contact. Consider developing a SLA between councillors and officers	4 - Medium	2 - Significant	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	19	which results in lack of prioritisation for the changes required, which results in delay, inefficiency and dissatisfaction.	Clear direction from senior political and officer leadership. An articulated change strategy including expected behavioural norms. Investment in engagement, communication, training and support through times of change.	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.	4 - Medium	2 - Significant	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	20	which results in failure to share key information and attrition, which results in delay and unhealthy cultures and behaviour.	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 will during change and transition. Harmonise performance management processes.	Joint Chief Executive	Strong joint Organisational Development & Cultural framework along with performance management framework. Councillors to show leadership to support the collaboration.	2 - Very Low	2 - Significant	Low	1 - Almost Impossible	2 - Significant	Low	1 - Almost Impossible	1 - Small	Low
CULTURE	There is a risk that employees will become increasingly anxious	21	which results in negative impacts on morale, which results in impact on service delivery, mental health concerns and loss of staff	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. Investment in HR support and employee assistance, including identifying internal opportunities for career development and a single package of good welfare support. Review regularly the impact on service performance and be prepared to support and resource accordingly.	JCX / HR Managers	Progress to be swift so period of uncertainty minimised. Costing will effect. Continue with effective communication and briefing of staff and Councillors. Monitor exit interviews & recruitment data .	4 - Medium	2 - Significant	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	22	Which results in compromises in the short term and failure to achieve the collaboration aims.	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. 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.	Joint Management Team	Current control measures are expected to continue the reduction in the risk rating.	3 - Low	2 - Significant	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	23	Leading to miscommunication, which results in inefficiency	A clear branding strategy to reflect the Councils' agreed priorities and approach. Clear communication on the nature and extent of the partnership, and the continuing importance of the role of ward councillors.	JCX / Comms Leads	Points of access to access services need to be clear - e.g., Guildford residents can still access via GBC website and same for Waverley. Review customer service points of access. ICT synchronisation so that customers notice no change.	4 - Medium	2 - Significant	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low
EXTERNAL	There is a risk that unexpected external events impact the collaboration	24	lead to significant diversion of attention, which results in delays to the partnership transition	Clearly documented progress of the partnership.	Joint Management Team	An early and agreed plan for handling such an unexpected external event, and a protocol for slowing or pausing the partnership.	5 - High	3 - Critical	High	4 - Medium	3 - Critical	High	4 - Medium	2 - Significant	Medium

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EXTERNAL	There is a risk that the Government will restart 'local government reorganisation' leading to structural uncertainty and diversion from the collaboration's priorities	25	Which results in the abolition of the two councils and disruption to service delivery.	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	Continual engagement with government stakeholders	4 - Medium	3 - Critical	High	4 - Medium	3 - Critical	High	4 - Medium	3 - Critical	High

Indicators

Impact	Score	Financial	Legal/Regulatory	Safety	Service Delivery	Reputational
Small	1	Loss <£10k	Trivial breach or non-compliance	Insignificant injury (First Aid)	Negligible disruption/unnoticed by service users insignificant damage	insignificant damage
Significant	2	Loss up to £50k	Isolated legal action or regulatory breach	Minor injury (medical attention)	Small disruption/inconvenience	One-off adverse local publicity
Critical	3	Loss up to £100k	Sustained legal action or (limited) regulatory fine	Serious injury (not life threatening)	Substantial, short-term disruption/inconvenience	Short-term, but wide reaching adverse publicity
Devastating	4	Loss >£100k	Major legal action or regulatory sanction	Death(s) or multiple serious injuries	Major, sustained disruption/serious inconvenience	Major, long-term damage