

Risk Register - Table of Changes

Between dates 17/03/2023 and 25/09/23

Risk number **Score Change**
1 N/A

Text in red added

Text in blue omitted

Description Change

E2

Now:

[...]Ongoing: *scoping of shared staff and shared HQ projects*; clear road map of actions with milestone dates/goals to be put together; *programme plan drafted but not yet agreed*; business cases *for big ticket items in development*; *maps of both organisations being drafted for the 'as is' in order to develop the 'to be'*. Current pause in light of Guildford financial situation.

2

Cell H3: Current likelihood changed from 3 - Low to 4 - Medium.

D3

Now:

which results in foregoing any further benefits of partnership, which results in greater pressure on the councils' financial challenge, service sustainability and pressure on the staff that are already joint. Cost and reputational damage. *Impact on efficiency, workload, morale, reputation and service delivery.*

E3

Now:

[...]Ongoing: *programme plan drafted but not yet agreed*; *business cases for big ticket items in development*; focus more aggressively on each council's individual transformation programme; identify more options for efficiency, income, savings and potentially service reductions.

Previously:

[...]Ongoing: *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.

G3

Now:

Inclusion of 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.

SEMs (Simultaneous Executive Meetings) being considered.

Previously:

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.

Consider need for further joint committees or sub-committees to make key decisions about collaboration activity.

3

N/A

E4

Now:

[...]Ongoing: *quarterly progress updates to O&S at each authority on progress of the collaboration*; *CMB members in close contact with key councillors.* *Options analyses being drafted.*

4

Cell H5: Current likelihood changed from 3 - low to 2 - very low.

E9

Now:

Completed: a clear, early and agreed mechanism for cost and savings apportionment, enshrined in the IAA e.g. JMT;

regular clear accounting of savings and costs to the relevant committees.

Ongoing: cost and savings apportionment set out within business cases.

Previously:

Completed: 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.

Ongoing: preparation & approval of business cases for collaboration beyond SMT.

Current rating changed from medium (amber) to low (green).

5

Cell H6: Current likelihood changed from 4 - medium to 6 - very high.

G6

Now:

Action plans implemented where significant issues arise. CMB and senior officers to decide if one off/shorter term issue or requires change to cost allocation with the option of rebalancing costs - keep this under review in budget planning. Further development of partnership working mitigates this risk further. Regular review and communication, to raise concerns, between lead members and CMB.

Recognise ebb and flow to respond to needs of orgs and priorities.

Regular appraisals and one to one discussions between officers, ensuring that objectives are being met and not compromised in each authority.

Current rating changed from Medium (amber) to High (red)

Risk number	Score Change	Description Change
6	Cell H6: Current likelihood changed from 2 - very low to 3 - low. The current rating still remains the same (medium).	G7 Now: <i>Ensure mechanism in governance arrangements for backbench councillor input. SEMs (Simultaneous Executive Meetings) being considered. Interim shared staffing arrangements agreed by both councils.</i> Previously: <i>Ensure mechanism in governance arrangements for backbench councillor input. Consider need for further joint committees or sub-committees to make key decisions about collaboration activity.</i>
7	Cell H8: Current likelihood changed from 4 - Medium to 3 - Low. Current rating changed from High (red) to Medium (amber).	E8 Now: <i>Ongoing: 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; communications plan being drafted.</i> G8 Now: <i>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.</i>
8	N/A	E9 Now: <i>Completed: Created a single shared programme management team. Ongoing: 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.</i> G9 Now: <i>[...]Change to culture of councillors and officers to focus on prioritisation to support delivery of collaboration. Keep JMT structure change under review.</i>
9	Cell H10: Current likelihood changed from 4 - medium to 3 - low. Cell K10: This changed the current rating from High (red) to Medium (Amber)	E10 Now: <i>Ongoing: 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; adjusted work progs to suit current priority; financial recovery plan for GBC to progress its priorities; GBC has clear programme reporting through EPB; WBC has agreed service plans.</i>
10	N/A	E11 Now: <i>development of HR Workforce Strategy and plan, effective management of, and communication with, staff; maintain external contacts through Surrey networks.</i> Previously: <i>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.</i> G11 Now: <i>Continue to monitor the staff changes across the partnership particularly at management level. Proceed and deliver Programme at pace.</i> Previously: <i>Continue to monitor the staff changes across the partnership particularly at management level. HR programme for management succession planning, recruitment, retention and reward.</i>

Risk number	Score Change	Description Change
11	<p>Cell H12: Current likelihood changed from 4 - Medium to 5 - High.</p> <p>Cell K12: This changed the current rating from Medium (Amber) to High (Red).</p> <p>Cell L12: Residual likelihood changed from 2 - Very Low to 3 - Low.</p> <p>Cell M12: Residual impact changed from 1 Small to 2 - Significant.</p> <p>Cell O12: This changed the Residual rating from Low (Green) to Medium (Amber).</p>	<p>E12 Now: <i>Ongoing: 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 comms plan being drafted.</i></p> <p>G12 Now: <i>Action plan implemented where significant issues arise. CMB and senior officers to decide if one off/shorter term issue or requires change to cost allocation with the option of rebalancing costs - keep this under review in budget planning. Further development of partnership working mitigates this risk further. Shared annual business plans for each service agreed by the councils, clearly articulating the apportionment on planned projects.</i> <i>Transformation & Collaboration Programme to include actions to promote positive working culture in both orgs.</i></p> <p>Previously: <i>Cultural strategy to 'work together'. Joint communications plan with equality at the core.</i> <i>Shared annual business plans for each service agreed by the councils, clearly articulating the apportionment on planned projects.</i></p>
12	N/A	<p>E13 Now: <i>Ongoing: encourage video-conferencing and home working ; scheduling of committee calenders combined where possible; options analysis for single office for both councils underway.</i></p> <p>G13 Previously: <i>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.</i> <i>Consistent policies and training for standardised video-conferencing and home working.</i> <i>Consider further expanding electric vehicles within the fleet(s).</i> <i>Progress a project for considering a single office to serve both councils.</i> <i>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.</i></p>
13	<p>Cell L14: Residual likelihood changed from 3 - Low to 4 - Medium.</p> <p>Cell M14: Residual impact changed from 3 - Critical to 4 - Devastating.</p> <p>Cell O14: This changed the Residual Rating from Medium (amber) to High (red)</p>	N/A
14	<p>Cell H15: Current likelihood changed from 4 - Medium to 3 - Low.</p> <p>Cell K15: This changed the current rating from High (red) to Medium (amber).</p> <p>Cell L15: Residual likelihood changed from 2 - Very low to 3 - Low.</p> <p>Cell O15: This changed the Residual rating from Low (green) to Medium (amber).</p>	<p>E15 Now: <i>Ongoing: clear communication with councillors and the public throughout the partnership (comms plan being drafted); cost and savings apportionment set out within business cases.</i></p> <p>G15 Now: <i>Avoid pursuing prohibitively expensive projects. Sensitivity analysis on estimates.</i> <i>Councillor involvement in working groups to look at each service/business case.</i> <i>Identify and include transition costs in business cases as they are developed.</i> <i>Agree and document a common approach to rate-of-return and cost/benefit sharing.</i> <i>Change the phasing of transition to reduce the impact of unexpected new costs that arise.</i> <i>Focus first on those areas that present the biggest 'wins'.</i></p>

Risk number	Score Change	Description Change
15	N/A	<p>G16 Now: <i>Strong combined target operating model and cultural framework.</i> <i>A programme of policy harmonisation and standardisation wherever possible, recognising that this huge task will take time.</i> <i>A single shared intranet hub for managers to consult policies, with cross-references where they are different.</i> <i>Regular communication of policy changes.</i> <i>Achieve political direction across both Councils on single officer structure (decision on options analysis).</i></p> <p>Previously: <i>Strong combined target operating model and cultural framework. Review learning points from GBC's recent transformation and consider at next HR session.</i> <i>A programme of policy harmonisation and standardisation 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.</i> <i>Regular communication of policy changes.</i> <i>Achieve political direction across both Councils on single officer structure.</i></p>
16	N/A	<p>E17 Now: <i>Completed: Vision statement for both authorities contains the commitment to harmonise internal policies and procedures unless there is good reason not to</i> <i>Ongoing: strong and regular communication from the senior political and management; mapping of 'as is' to devise the 'to be'.</i></p>
17	N/A	<p>E18 Now: <i>Ongoing: review the costs and benefits of the current IT systems and their current contractual obligations; formation of IT Way Forward Group meeting (GBC and WBC) to collaborate.</i> Previously: <i>Ongoing: review the costs and benefits of the current IT systems and their current contractual obligations; formation of ICT Strategy Board.</i> G18 Now: <i>Prioritise the transition programme based on the cost/benefit analysis.</i> <i>Develop and implement a new shared IT strategy that is focused on supporting the partnership and identify the resources required and return-on investment that is possible.</i> <i>Cost/benefits analysis will be a key part of business cases for change, including for IT.</i></p>
18	N/A	<p>E19 Now: <i>Completed: 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.</i> <i>Ongoing: regular communication with councillors, parish councils and the public; JMT attending regular committees and boards, as well as networking meetings in both councils, joint comms plan being drafted.</i> G19 Now: <i>Harmonisation of roles and terms of reference of key council committees across councils e.g., CGSC / Audit committee ToRs to be similar.</i> <i>SEMs (Simultaneous Executive Meetings) being considered.</i> <i>Consider need for further joint committees or sub-committees to make key decisions about collaboration activity.</i> <i>O&S will scrutinise prior to final options being put to Executives.</i></p>
19	N/A	<p>E20 Now: <i>Ongoing: 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 an SLA between councillors and officers; JMT attending regular committees and boards, as well as networking meetings in both councils. Interim shared staffing arrangements agreed by both councils.</i></p>
20	N/A	<p>E21 Now: <i>Completed: recruitment of JMT clear direction from senior political and officer leadership.</i> <i>Ongoing: investment in engagement, communication, training and support through times of change; agreed initial staff sharing arrangements; aligning structures where possible in preparation for collaboration.</i> Previously: <i>Completed: recruitment of JMT clear direction from senior political and officer leadership.</i> <i>Ongoing: investment in engagement, communication, training and support through times of change; formal agreements are being pursued for initial staff sharing arrangements.</i></p>

Risk number	Score Change	Description Change
21	N/A	<p>E22</p> <p>Now:</p> <p><i>Completed: Performance management meetings harmonised.</i></p> <p><i>Ongoing: clear direction from the political and senior management leadership as to the way forward; investment in engagement, communication, training and support through times of change; best practice sharing opportunities and investment in building new teams through collaboration and current working environments.</i></p> <p>G22</p> <p>Previously:</p> <p><i>Strong joint Organisational Development & Cultural framework along with performance management framework. Councillors to show leadership to support the collaboration. Harmonise performance management processes.</i></p> <p><i>Best practice sharing opportunities and investment in building new teams through collaboration and current working environments.</i></p> <p><i>Consider data sharing agreement/terms to provide staff confidence in information sharing</i></p> <p><i>Achieve political direction across both Councils on single officer structure</i></p>
22	<p>Cell L23: Residual likelihood changed from 2 - Very Low to 3 - Low.</p> <p>Cell M23: Residual impact changed from 1 - Small to 3 - Critical.</p> <p>Cell O23: This changed the Residual Rating from Low (green) to Medium (amber)</p>	<p>E23</p> <p>Now:</p> <p><i>Ongoing: 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. joint comms plan being drafted.</i></p> <p><i>Monitor exit interviews & recruitment data; investment in HR support, investment in engagement, communication, training and support through times of change.</i></p>
23	N/A	N/A
24	N/A	<p>E25</p> <p>Now:</p> <p><i>Ongoing: 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.</i></p> <p><i>Joint comms plan being drafted, including proposed joint branding.</i></p> <p><i>Comms leads from GBC and WBC on T&CP Team.</i></p> <p>G25</p> <p>Previously:</p> <p><i>Review customer service points of access at each stage of collaboration. ICT synchronisation so that customers notice no change.</i></p> <p><i>A clear branding strategy to reflect the Councils' agreed priorities and approach.</i></p> <p><i>Comms lead on transformation and collaboration board/project team.</i></p>
25	Cell H26: Current likelihood changed from 4 - Medium to 5 - High	<p>B26</p> <p>Now:</p> <p>There is a risk that significant events impact the collaboration.</p> <p>Previously:</p> <p>There is a risk that unexpected external events impact the collaboration.</p> <p>G26</p> <p>Previously:</p> <p>An early and agreed plan for handling such an unexpected external event, and a protocol for slowing or pausing the partnership.</p>
26	<p>Cell H27: Current likelihood changed from 2 - Very Low to 4 - Medium</p> <p>Cell H27: This changed the Current rating from Low (green) to High (red)</p>	N/A
27	N/A	N/A
28	N/A	N/A