

Guildford Borough Council and Waverley Borough Council

Report to: Joint Governance Committee

Date: 24 January 2024

Ward(s) affected: All

Report of Director: Transformation & Governance

Author: Robin Taylor

Tel: 01483 523108

Email: robin.taylor@waverley.gov.uk

Executive Portfolio Holder/ Lead Councillor responsible: Cllr Morson (GBC)
and Cllr Kiehl (WBC)

Email: Carla.morson@guildford.gov.uk;

Victoria.kiehl@waverley.gov.uk

Report Status: Open

Proposal of revised Collaboration Risk Register – Task & Finish Group of JGC

1. Executive Summary

1.1 This report presents the revised collaboration risk register, as proposed by the Joint Governance Committee's (the Committee's) Task & finish Group, for its approval and six-monthly review by the Committee.

- 1.2 The original register was last presented to the Committee in November 2023. Since then, it has been reviewed and revised by the Task & Finish Group and officers.
- 1.3 The Task & Finish Group have met twice (4 and 11 December 2023) since the last Committee meeting in November 2023.
- 1.4 This report also presents a suggested formalised process for Collaboration risk owners (officers) to provide updates on their respective risk mitigations.
- 1.5 The original register and the revised register are part of the agenda reports pack.

2. Recommendation to Committee

- 2.1 That the Committee approves the revised register suggested by the Task & Finish Group and officers and agrees any further changes.
- 2.2 That the Committee ask officers to prepare a heatmap for the 24 April 2024 Committee meeting. Showing changes in risks since this committee meeting.
- 2.3 It is recommended that a formalised process is adopted for Collaboration risk owners to provide updates on their respective risk mitigations. The recommended process being:
 - Collaboration risk owners should provide updates on their respective risk mitigations at a Joint Management Team (JMT) meeting at least three weeks before the next Committee meeting. The T&CP standing agenda item at JMT will be used to review the register and receive updates on the mitigations.

3. Reason(s) for Recommendation:

- 3.1 The Committee's role is to undertake a formal review of the risk register and make any changes.
- 3.2 At the reconvened 1 November 2023 meeting, the Committee agreed the recommendation for *'officers to undertake a comprehensive review of the risk register, including risks; mitigations and scoring, with a view to make it more succinct and focused on the key threats to success of the collaboration.'*
- 3.3 The Task & Finish Group agreed updates on risk mitigations should come from risk owners and a formal process should be developed to achieve this.

4. Exemption from publication

No

5. Purpose of Report

- 5.1 The purpose of this report is to present the revised register for the Committee to fulfil its function to:
 - undertake a six-monthly formal review of the collaboration risk assessment;
 - review current and target impact and likelihood scores;
 - make any changes to the list of risks and mitigation actions.

6. Strategic Priorities

- 6.1 The collaboration between Guildford and Waverley Borough Councils will enable both Councils to better deliver their strategic priorities by achieving financial savings and making our services more sustainable. Effective risk management is vital to achieving the objectives of the

collaboration and therefore supporting both councils to deliver their strategic priorities.

7. Background

7.1 In July 2021 both Guildford Borough Council and Waverley Borough Council agreed to explore collaboration beyond a joint management team. An initial analysis of strategic risks related to the collaboration was developed into a collaboration risk register. Since its review by the Committee in November 2023, the register has been revised by the Task & Finish Group and officers and is presented alongside this report for review and approval by the Committee.

7.2 The Task & Finish Group and officers have completed the following since the Committee meeting in November 2023:

- reduced duplication/repetition by revising all risks and combining those with similar causes and impacts;
- included an 'Examples of risk' column, to capture the possible examples of each risk and set out what materialisation of the risk would look like;
- merged 'current control measures' and 'further planned actions' columns to create singular 'Mitigations' column, separated into 'current' and 'planned' mitigations;
- revisited RAG ratings for each 16 high level risks, according to those original risk ratings;
- added 'Original risk' column to reflect where revised risk derived from in original risk register;
- revised 'related risks column' in reference to new risks;
- removed target risk columns;
- created a 'Glossary' sheet, explaining terms and acronyms from reviewed risk register, including a column for relevant risk;
- as requested by the Task & Finish Group, 'total overall current risk rating value' and 'total overall residual risk rating value' have been added to the risk register.

- 7.3 Due to the changes made by the Task & Finish Group, the revised risk register includes new risks and combines risks which have similar causes and impacts, therefore risk numbers have changed from the original register. The date of 24 January 2024 will be against each risk when the revised register is approved by the Committee. From then on new risks will be dated with the date they are agreed at a Committee meeting.
- 7.4 As per recommendation 2.2, once these risks are approved, any changes will be illustrated in a heatmap at subsequent Committee meetings.
- 7.5 It is important to remember not all risks are able to be fully mitigated, sometimes due to external influences and other times due to level of impact if the risk were to materialise, regardless of likelihood. For some risks the likelihood may be low or very low, but the impact will remain high regardless of mitigating action. The scoring of the risk will therefore remain high, despite it being unlikely.

8. Consultations

- 8.1 The revised register is presented in this report following its review by the Task & Finish Group, the Strategic Director for Transformation and Governance, Executive Head of Organisational Development, Business Transformation Manager (WBC) and Graduate Management Trainee (WBC).

9. Key Risks

- 9.1 There is a risk the register will not be monitored by all appropriate stakeholders should the Committee fail to fulfil its function of reviewing the register on a six-monthly basis.
- 9.2 Officers continue to monitor the risks and mitigations within the register as the collaboration progresses. Ownership of the register currently sits with CMB, providing responsive reaction to

developments and proactive mitigations to reduce risks, including any resources that may need to be assigned.

10. Financial Implications

- 10.1 The financial risks to the collaboration and actions to mitigate these risks are listed in the register (appendix 1).
- 10.2 There is a financial gap between current and future mitigations. Current mitigations have budget, future mitigations do not necessarily have budget allocated. Therefore, some of the future mitigations in appendix 1 will require financial investment. Requests for funding will be submitted where budget or resource is required beyond current provision.
- 10.3 Business cases for specific collaboration projects will provide detail on costs and savings through the financial business case.

11. Legal Implications

- 11.1 There are no direct legal implications arising from this report.

12. Human Resource Implications

- 12.1 The HR risks to the collaboration and actions to mitigate these are listed in the register (appendix 1).

13. Equality and Diversity Implications

- 13.1 This duty has been considered in the context of this report and it has been concluded that there are no equality and diversity implications arising directly from this report.

14. Climate Change/Sustainability Implications

- 14.1 One of the objectives of the collaboration and partnership is to better enable both councils to achieve their carbon neutrality

targets. Working closely together across the two boroughs, Guildford and Waverley Borough Councils have enhanced opportunities to deliver their carbon neutrality goals.

14.2 This report and appendix 1 have no direct climate change implications.

15. Summary of Options

15.1 The Committee is asked to approve the reviewed risk register attached as appendix 1.

16. Background Papers

16.1 None

17. Appendices

17.1 Appendix 1 – Revised Collaboration Risk Register (PDF version)

Appendix 1a - Revised Collaboration Risk Register (Excel version)

17.2 Appendix 2 – Risk Register Glossary

17.3 Appendix 3 – Original Collaboration Risk Register

Please ensure the following service areas have signed off your report.
Please complete this box, and do not delete.

Service	Sign off date
Finance / S.151 Officer	
Legal / Governance	
HR	
Equalities	
Lead Councillor	
CMB	
Committee Services	