

RISK ASSESSMENT

	4 Very High	3 High	2 Medium	1 Low
4 DISASTER Significant service failure / total loss of public confidence / fatality / major financial crisis.	RED 16	RED 12	AMBER 8	GREEN 4
3 MAJOR Significant service disruption / serious public criticism / serious injury / large financial cost.	RED 12	RED 9	AMBER 6	GREEN 3
2 NOTICEABLE Some service delivery disruption / reduced public confidence / minor injury / unplanned financial cost.	AMBER 8	AMBER 6	GREEN 4	GREEN 2
1 MINIMAL Minor service delivery disruption / adverse public comment / no injury / low financial cost	GREEN 4	GREEN 3	GREEN 2	GREEN 1

Key

<u>Score</u>	<u>Colour</u>	<u>Action</u>
1 to 4	GREEN	: Monitor
5 to 8	AMBER	: Keep under review
9 to 16	RED	: Need further mitigation or contingency plan

Risk Register - Updated September 2020 – Statutory Members Group

No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
1a	Reputation	Lass of ability to act independently in the interests of the Surrey Hills AONB	Members act in interests of AONB Review activity against AONB Management Plan Policies and national guidance	AONB Chairman AONB Director	2	3	6					
1b	Reputation	Loss of reputation due to impropriety.	Team operating under SCC Standing Orders PR response	AONB Chairman AONB Director	1	3	3					
1c	Reputation	Lack of control over Surrey Hills brand with conflict and confusion between the Surrey Hills AONB Board and the Surrey Hills family.	Monitoring activity against AONB Management Plan Regular liaison of Family Chairman Regulation through monitoring and renewal of Trademark Licence Agreement Regular meetings of the Communications Group	AONB Director AONB Chairman AONB Director and AONB Comms Officer AONB Director and Comms Officer	3	3	9	Review and update Trademark and license agreement Ensure that Chairs' group identifies risks Family Collaboration Day to build understanding and trust	SCC Manager AONB Chair AONB Director	2	3	6
2a	Performance	Lack of focus on strategy/ AONB Management Plan	Business Plan. Production of 5 year Management Plan.	Chairman AONB Director AONB Director	2	3	6					
2b	Performance	Ineffective working relationship with the Family	Regular liaison of Family Chairman Regular monitoring at AONB Board against AONB Management Plan	AONB Chairman AONB Director	2	3	6					
2c	Performance	Failure to innovate or deliver best practice	Regular liaison through NAAONB and regional	AONB Director	2	3	6					

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		from other AONBs and National Parks	Protected Landscapes									
2d	Performance	Inadequate staff capacity - turnover, lack of training, inability to recruit.	Appraisals. Team meetings. Training programmes	AONB Director	2	3	6					
2e	Performance	Major failure of IT Systems	Contract with IT maintenance engineer. Programme of Surrey County Council back up and replacement to keep hardware & software up to date.	AONB Office Manager Surrey County Council ICT Support Officer	2	4	8					
2f	Performance	Failure or dangerous malfunction of electrical equipment.	Annual check for all electrical equipment.	National Trust (as landlord)	2	2	4					
2g	Performance	Failure to ensure business continuity in the event of significant incident.	Surrey County Council Service Business Continuity Plan to be enacted, as appropriate	AONB Director Surrey County Council Countryside Manager	1	4	4					
2h	Performance	Office closure due to pandemic or similar	Flexible working from home Weekly time management working	AONB Director SCC Manager NT (as landlord)	3	3	9	Need to review team working to maximise effectiveness and productivity	AONB Director SCC Manager NT as landlord	3	2	6
3a	Financial	Lack of resources due to reduced Defra grant allocations. Reductions in reserves.	Detailed scrutiny of planned spending. Seek longer term funding agreements with Defra and local authorities. Broaden range of funding sources / generate more	AONB Board Chairman Board and AONB Director AONB Director	3	3	6	Ensure SMG addresses this issue at its meetings	Chairman and SCC Cabinet Member	2	3	6

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			independent income. Seek efficiency savings.									
3b	Financial	Lack of local authority funding and cost of SCC hosting	Detailed scrutiny of planned spending. Seek longer term funding agreements with Defra and local authorities. Broaden range of funding sources / generate more independent income. Seek efficiency savings.	AONB Board Chairman Board and AONB Director AONB Director	2	3	6					
3c	Financial	Poor planning, control and monitoring	Detailed scrutiny of proposed annual budget to match costs with resources. Review budget monitoring reports on a regular basis.	AONB Board AONB Director Officer Manager	1	3	3					
4a	Governance	Failure to comply with corporate governance requirements (eg legal obligations, diversity agenda, health and safety requirements).	Surrey County Council Standing Orders Regulations Codes of Conduct Training & advice	AONB Director Office Manager	1	3	3					
4b	Governance	Failure to provide adequate level of HR support to staff.	Reduce team and dependency on Surrey County Council HR support	AONB Director	1	2	2					
4c	Governance	Failure to combat financial mismanagement, fraud, theft.	Surrey County Council Standing Orders followed	AONB Director Office Manager	1	4	4					
4d	Governance	Failure to ensure public and staff safety at external events.	Risk assessment undertaken for all events, but these should	AONB Director	1	4	4					

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			be delivered through partners. Surrey County Council public liability insurance in place.									
4e	Governance	Loss of leadership through election of Chairs	Election of independent AONB Chair on 3 year term and annual election of Vice-Chairman	AONB Director	2	2	4					