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Service: **FINANCE**

	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
1	Finance	Treasury Management - Loss of money - Reduction of investment interest - Cost of borrowing	Low / High Low / Medium  Medium / Low	- Now £14-22 million invested at any one time	- Head of Finance	- Use of External Advisers - Sector - Ensure staff are well trained - Ensure adequate cover - Treasury Management Strategy that is regularly reviewed - Spread of investments
2	Finance	Cash collection contract - Firm collapses - Theft by company - Contract Extension/ new Contract - Transfer of On-Street Parking to ESCC	Medium / Medium Medium / High	- Reputation undermined - Loss of circa £200k	- Head of Finance	- Continue daily monitoring of cash banked - regular communication with supplier if the contract is not complied with - Insurance
3	Finance	Reduction/Loss of Government Grant (budget deficit) in 2013/14.	High / High	- Budget deficits	- CMG - Head of Finance	- ongoing PIER process - CMG - Efficiencies - Medium Term Financial Strategy - Adequate Reserves/Resources
4	Finance	Uninsured properties / risks	Medium / Medium	- Properties not insured - Loss of money in the event of loss	- Head of Finance	- Ensure thorough renewals process each year - Make sure we liaise with estates to ensure all properties are adequately insured
5	Finance	Income stream	Medium / High	- Budget deficit	- Head of Finance - Chief Accountant	- ensure regular budget monitoring reports distributed followed up by meetings  - report variances to directors so they can address any budget deficits within their service

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						<ul style="list-style-type: none"> <li>- report variances quarterly through performance review</li> <li>- Adequate provisions</li> </ul>
6	Finance	Business Continuity	Medium / High	<ul style="list-style-type: none"> <li>- Payments, benefits, creditors &amp; Treasury Management</li> </ul>	<ul style="list-style-type: none"> <li>- Head of Finance/ Chief Accountant</li> </ul>	<ul style="list-style-type: none"> <li>- Try to ensure finance system meets changing needs of business</li> <li>- Ensure full staff complement</li> <li>- Business Continuity Plan in place</li> </ul>
7	Finance	Loss of key staff	Medium / High	<ul style="list-style-type: none"> <li>- Stress</li> <li>- Errors / omissions</li> <li>- Financial loss</li> <li>- Poor advice</li> </ul>	<ul style="list-style-type: none"> <li>- Chief Accountant</li> <li>- Head of Finance</li> <li>- Personnel, Policies and Strategies</li> <li>- CMG</li> </ul>	<ul style="list-style-type: none"> <li>- Keep staff motivated</li> <li>- Ensure knowledge is shared</li> <li>- Terms and Conditions</li> </ul>
8	Finance	Changes in legislation	Medium / Medium	<ul style="list-style-type: none"> <li>- Failure to produce accounts</li> <li>- Qualified by auditor</li> <li>- Staff time</li> <li>- Staff costs</li> <li>- Reputation undermined</li> </ul>	<ul style="list-style-type: none"> <li>- Head of Finance</li> <li>- Chief Accountant</li> </ul>	<ul style="list-style-type: none"> <li>- Regular liaison with our external auditors PKF</li> <li>- Train staff</li> </ul>
9	Finance	Budget settings <ul style="list-style-type: none"> <li>- No decisions</li> <li>- Late decisions</li> <li>- No processes</li> </ul>	Low / Low	<ul style="list-style-type: none"> <li>- Staff disenfranchised</li> <li>- Low morale</li> <li>- In fighting</li> </ul>	<ul style="list-style-type: none"> <li>- Head of Finance</li> <li>- Chief Accountant</li> </ul>	<ul style="list-style-type: none"> <li>- Ensure regular budget monitoring reports distributed followed up by meetings</li> <li>- Report variance through performance review</li> <li>- PIER process</li> <li>- Provide appropriate financial advice as directors/senior management request</li> <li>- Medium Term Financial Strategy</li> </ul>

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10	Finance	External suppliers - Bankruptcy, administration	Medium / High	- Depends which contract	- Chief Accountant	- Financial health checks
11	Finance (Income Mgt System Upgrade)	Insufficient staff time is available to complete the project on time and/or to the quality standards required	Medium / Medium	- Delay to realising system benefits and impact on project staff time	- Head of Finance /Chief Accountant	Identify resource shortfall as soon as possible and secure additional resources
12	Finance (Income Mgt System Upgrade)	Reliance on staff from other departments being able to contribute to the project as and when required	Medium / Medium	- Delays and elapsed time also impacting on project staff time	- Head of Finance /Chief Accountant	Early identification and contact with key staff to ensure availability and commitment within project timescales

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Service: **ESTATES**

	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
1	Estates	Loss of key staff and inability to recruit	Medium/High	<ul style="list-style-type: none"> <li>- Loss of knowledge and relationship with tenants</li> <li>- Tenants dissatisfied and leave</li> </ul>	<ul style="list-style-type: none"> <li>- Head of Finance</li> <li>- Executive Manager People and Organisational Development</li> </ul>	<ul style="list-style-type: none"> <li>- Keep staff motivated</li> <li>- Retain IIP status</li> <li>- Ensure knowledge shared within Team</li> <li>- Terms and Conditions</li> </ul>
2	Estates	Fail to secure new occupier for St Mary in the Castle	Low/High	<ul style="list-style-type: none"> <li>- Building empty leading to increased costs</li> <li>- Loss of amenity to the town</li> </ul>	<ul style="list-style-type: none"> <li>- Estates Manager</li> </ul>	<ul style="list-style-type: none"> <li>- Interim arrangements for Hastings BC staff to open for events</li> <li>- Effective advertising</li> </ul>
3	Estates	Increase in empty commercial units / major tenant leaves	High / High	<ul style="list-style-type: none"> <li>- Loss of rental income</li> <li>- Units handed back and difficult to re-let</li> <li>- Increased costs (rates)</li> </ul>	<ul style="list-style-type: none"> <li>- Estates Manager</li> </ul>	<ul style="list-style-type: none"> <li>- Effective advertising</li> <li>- Continue with special measures</li> <li>- Maintain tenant relationships and get early warning</li> </ul>
4	Estates	Failure to maintain assets	Low/High	<ul style="list-style-type: none"> <li>- Properties fall into disrepair</li> </ul>	<ul style="list-style-type: none"> <li>- Estates Manager</li> </ul>	<ul style="list-style-type: none"> <li>- Regular inspections</li> <li>- Adequate budget (R&amp;R)</li> </ul>
5	Estates	Properties not adequately insured	Low/Medium	<ul style="list-style-type: none"> <li>- Council has to reinstate from own money</li> </ul>	<ul style="list-style-type: none"> <li>- Estates Manager</li> <li>- Head of Finance</li> </ul>	<ul style="list-style-type: none"> <li>- Complete revaluation of Council property and ensure regular checks on tenanted property</li> </ul>

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6	Estates	Environmental legislation introduced	High/Medium	<ul style="list-style-type: none"> <li>- Units with an energy rating of E or worse can't be let after 2018</li> <li>- Cost as business rates could be linked to energy performance of buildings</li> </ul>	- Estates Manager	- Assess energy performance of our buildings and improve where necessary
7	Estates	Lone working	Low/High	- Risk of injury	- Estates Manager	<ul style="list-style-type: none"> <li>- Risk assessed</li> <li>- Lone Worker Policy</li> </ul>

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Service: **REVENUES AND BENEFITS**

	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
1	Revenues & Benefits	Not implementing changes to benefit rules & regulations in a timely manner	Low/Medium	<ul style="list-style-type: none"> <li>- Wrong HB/CTB paid to customers</li> <li>- Subsidy claim qualified</li> <li>- Reputational</li> </ul>	<ul style="list-style-type: none"> <li>- Revs and Bens Service Manager</li> <li>- Performance and Quality Manager</li> </ul>	<ul style="list-style-type: none"> <li>- Ensure software supplier delivers upgrade on time</li> <li>- Fully test software prior to installing in 'live' system</li> <li>- Train staff in new procedure</li> </ul>
2	Revenues & Benefits	Increased caseload	High/Medium	<ul style="list-style-type: none"> <li>- More staff required</li> <li>- Additional costs re equipment etc</li> <li>- Added pressure</li> <li>- Performance deteriorates</li> </ul>	<ul style="list-style-type: none"> <li>- Revs and Bens Service Manager</li> <li>- Performance and Quality Manager</li> </ul>	<ul style="list-style-type: none"> <li>- Monitor incoming work</li> <li>- Recruit staff</li> <li>- Maintain a good relationship with Agency provider</li> <li>- More flexible working arrangements including home-working</li> <li>- Keep staff motivated</li> <li>- Monitor performance</li> </ul>
3	Revenues & Benefits	Failure to meet collection targets in respect of council tax & business rates	Medium/High	<ul style="list-style-type: none"> <li>- Collection fund budget setting</li> </ul>	<ul style="list-style-type: none"> <li>- Revs and Bens Service Manager</li> <li>- Collection and Customer Service Manager</li> </ul>	<ul style="list-style-type: none"> <li>- Ensure a robust recovery strategy</li> <li>- Promote council tax benefit in order to help reduce liability</li> </ul>
4	Revenues & Benefits	Failure to meet sundry debts collection target as a result of the economic downturn	Medium/Medium	<ul style="list-style-type: none"> <li>- Loss of income to Council</li> </ul>	<ul style="list-style-type: none"> <li>- Revs and Bens Service Manager</li> <li>- Income Officer</li> </ul>	<ul style="list-style-type: none"> <li>- Ensure a robust recovery strategy</li> <li>- Liaise with customers as soon as there appears to be a problem</li> </ul>

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5	Revenues & Benefits	Effectiveness of Business Continuity Plan	Medium/High	<ul style="list-style-type: none"> <li>- Loss of staff</li> <li>- Loss of IT systems</li> <li>- Loss of accommodation</li> </ul>	<ul style="list-style-type: none"> <li>- Revs and Bens Service Manager</li> <li>- IT Manager</li> </ul>	<ul style="list-style-type: none"> <li>- Key staff able to operate from home</li> <li>- IT system backed up daily</li> <li>- Undertake IT Disaster Recovery mock-ups annually</li> </ul>
6	Revenues & Benefits	Failure to recruit & retain staff	Medium/Medium	<ul style="list-style-type: none"> <li>- Unable to meet demands/targets</li> <li>- Service delivery deteriorates</li> <li>- Low morale</li> <li>- Added pressure</li> <li>- Increased sickness</li> <li>- Increased costs</li> </ul>	<ul style="list-style-type: none"> <li>- Revs and Bens Manager</li> <li>- Executive Manager People and Organisational Development</li> </ul>	<ul style="list-style-type: none"> <li>- Managers to work closely with HR People Strategy</li> <li>- Workforce planning</li> </ul>
7	Revenues & Benefits	Impact of proposed changes to the Council Tax Benefit Scheme – especially if we don't properly implement it	High/Medium	<p><b>Financial:</b></p> <ul style="list-style-type: none"> <li>- Less expenditure.</li> <li>- More council tax to collect.</li> <li>- Collection fund</li> <li>- Budget setting.</li> </ul> <p><b>IT systems:</b></p> <ul style="list-style-type: none"> <li>- Replacement system not available on time.</li> </ul>	<ul style="list-style-type: none"> <li>- Revs and Bens Manager</li> <li>- Head of Finance</li> </ul>	<ul style="list-style-type: none"> <li>- Work with colleagues in other Local Authorities</li> <li>- Liaise with software suppliers</li> <li>- Attend appropriate seminars/workshops</li> </ul>
8	Revenues & Benefits	Impact on service delivery following transfer of service to Corporate Contact Centre	Medium/Medium	<ul style="list-style-type: none"> <li>- Resources.</li> <li>- Performance.</li> <li>- Reputation.</li> </ul>	<ul style="list-style-type: none"> <li>- Revs and Bens Manager</li> </ul>	<ul style="list-style-type: none"> <li>- Monitor carefully during transition period</li> <li>- Continually review resource requirements</li> <li>- Agree level of service with Contact Centre Manager and regularly review the service and training</li> </ul>

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Service: **AUDIT, INVESTIGATIONS AND PROCUREMENT**

	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
1	Audit	Risk of missing something in a systems audit	Low / Medium	- Loss of credibility of audit and false assurance	- Chief Auditor	- Professional staff - Experienced staff - Chief Auditor review of work performed
2	Investigations	Risk of Rother DC being dissatisfied with service.	Low / Medium	- Reputation Undermined - Alters cost dynamic	- Chief Auditor	- Monitor performance and take action before performance falls too low
3	Procurement	Risk of not achieving best value deals	Low / Medium	- Paying extra for same service	- Chief Auditor	- Check with other authorities - Work in collaboration with other authorities - Ensure savings exceed procurement costs



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Service: **PERSONNEL**

	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
1	Personnel	Loss of Trent Payroll system	Low / High	<ul style="list-style-type: none"> <li>- Over payments</li> <li>- Staff not paid</li> <li>- NI / Tax not paid – surcharged</li> <li>- Services may have to close</li> <li>- Employment tribunal claims</li> <li>- Industrial action</li> </ul>	Executive Manager People and Organisational Development	<ul style="list-style-type: none"> <li>- Managers trained on payroll process</li> <li>- Business Continuity Plan in place / reviewed</li> </ul>
2	Personnel	Lack of effective organisational change	Medium / Medium	<ul style="list-style-type: none"> <li>- Staff unable to deliver services due to lack of skills and knowledge</li> <li>- Organisation stagnates</li> <li>- No new initiatives / developments undertaken</li> <li>- Unable to manage more with less</li> <li>- Unable to deliver government / local leadership agenda</li> <li>- Loss of key staff</li> <li>- Increased sickness</li> <li>- Disengaged staff</li> </ul>	Executive Manager People and Organisational Development	<ul style="list-style-type: none"> <li>- Retain IIP which will enable us to realise our objectives through effective management and development of our staff, improved motivation through staff involvement, staff more ready to accept change and identify with organisational goals, better communications.</li> <li>- Workforce planning helps us to anticipate what resources we will require for the future, addressing recruitment and retention issues, and how we will achieve this.</li> <li>- Workforce development plan enables us to meet our strategic objectives by identifying people management issues to be addressed over the medium term.</li> <li>- People strategy is overarching and outlines what an employee can expect from working with us.</li> </ul>

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3	Personnel	Loss of key staff - Turnover - Redundancy/retirement - Re-structure  (failure to take a strategic approach to workforce planning puts key services at risk)	High / High	<ul style="list-style-type: none"> <li>- Support for managers / organisation reduced</li> <li>- Processes not followed increase in claims via E.T.</li> <li>- Loss of knowledge</li> <li>- Reduced services</li> <li>- Increased complaints</li> <li>- Increased sickness</li> <li>- Staff over loaded</li> <li>- Reputation of HBC undermined</li> </ul>	- Executive Manager People and Organisational Development	<ul style="list-style-type: none"> <li>- Workforce planning process embedded within service areas</li> <li>- Workforce Development Plan (planned programme with service heads)</li> <li>- HR briefings on HR policies / procedures, employment legislation</li> <li>- Sickness absence priority objective for Personnel / service areas</li> <li>- Managers training in people management issues</li> </ul>
4	Personnel	Non-compliance with employment legislation	Medium / Medium	<ul style="list-style-type: none"> <li>- Increased number of tribunal claims – costs against the Council</li> </ul>	- Executive Manager People and Organisational Development	<ul style="list-style-type: none"> <li>- HR briefings (see above)</li> <li>- Training for managers in people management issues</li> <li>- Ensure policies and procedures adhered to – including timelines</li> <li>- Provide support to managers</li> <li>- Inform finance as early as possible</li> <li>- Use experienced HR advisors (qualified)</li> <li>- Early contact with relevant managers</li> <li>- Training for managers in handling difficult situations</li> </ul>

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	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
5.	Personnel	Poor Employee relations	Low/High	<ul style="list-style-type: none"> <li>- Reputation as an employer resulting in high turnover, low morale, poor recruitment and retention, increased sickness absence and increased Employment – Tribunals.</li> <li>- Impact on service delivery.</li> </ul>	<ul style="list-style-type: none"> <li>- Executive Manager</li> <li>People and Organisational Development</li> </ul>	<ul style="list-style-type: none"> <li>- Maintain and build on current Employee relations framework which encourages partnership working between management and unions, enabling effective negotiation, consultation and communication.</li> </ul>
6	Support Services	Inadequate Project Management skills/project management	Low/Low	<ul style="list-style-type: none"> <li>- Projects not progressed, costs overrun/Deadlines missed/lack of motivation/disinterest</li> </ul>	<ul style="list-style-type: none"> <li>- Executive Manager</li> <li>People and Organisational Development</li> </ul>	<ul style="list-style-type: none"> <li>- Project management training/Adoption of Corporate Project management methodology</li> </ul>
7	Support Services	Breach of Town Hall or Aquila House Security – asset or data loss	Low/Low	<ul style="list-style-type: none"> <li>- Legal action/Loss of reputation/confidence</li> </ul>	<ul style="list-style-type: none"> <li>- Executive Manager</li> <li>People and Organisational Development</li> </ul>	<ul style="list-style-type: none"> <li>- Perform security reviews to test security arrangements</li> <li>- Ensure frequent staff awareness</li> <li>- Test alarms</li> </ul>
8	Support Services	Freedom of Information Act response targets not met	Low/Low	<ul style="list-style-type: none"> <li>- Complaint to Information Commissioner</li> </ul>	<ul style="list-style-type: none"> <li>- Executive Manager</li> <li>People and Organisational Development</li> </ul>	<ul style="list-style-type: none"> <li>- Maintenance of monitoring system</li> </ul>

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9	Support Services	Equipment breakdown (printers, water coolers etc)	Low/Low	- Unable to use equipment	- Executive Manager People and Organisational Development	- Effective and efficient call-out arrangements
10	Support Services	Breach of fire and building health and safety regulations at Town Hall or Aquila House.	Low/High	- Potential injury to persons	- Executive Manager People and Organisational Development	- Training - Drills - Health & Safety system in place

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Service: **POLICY, PARTNERSHIP & SUSTAINABILITY**

	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
1	PPS	HBC Not achieving corporate objectives e.g. equalities, SCS, effective engagement	Medium / High	- Impact on service delivery - Reputation undermined	- Corporate Directors	- Clear direction - Resources allocated in Budget Process
2	PPS	Lack of effective corporate planning – lack of capacity, lack of skills, organisation resistance	Medium / High	- Poorly planned resource allocation - HBC not responsive to emerging issues	- Corporate Directors	- PIER programme to identify resources at time priorities are agreed
3	PPS	Loss of key staff	Medium / Medium	- Impact on service delivery - Pressure on remaining staff	- Head of Corporate Services	- Keep staff motivated - Ensure knowledge is shared - Terms and Conditions
4	PPS	Failure of PM management system	Low / Medium	- Loss of records - Reputation undermined	- Head of Corporate Services	- Linked to IT Recovery Plan

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5	PPS	Failure to effectively engage staff and community in decisions about reducing resources	Medium / Medium	<ul style="list-style-type: none"> <li>- Reputation undermined</li> <li>- Staff dissatisfaction</li> <li>- Complaints</li> </ul>	- Corporate Directors	<ul style="list-style-type: none"> <li>- Another Conversation underpins development of Corporate Plan and budget for 2012/13.</li> <li>- Equality Impact assessments undertaken to highlight issues and steps for mitigation before decisions taken</li> <li>- Programme of staff engagement started October 2012</li> </ul>

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Service: **LEGAL SERVICES**

	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
1	Legal	Regulatory enforcement – loss of staff in key area failure to follow correct procedures in enforcement processes, particularly prosecution.	Low / High	- Reputational -failure to deliver on priorities - Financial – Vulnerability to costs orders against the Council	- Chief Legal Officer	- Legal compliance – professionally trained staff subject to CPD, training, library and on-line research tools, East Sussex Solicitors and Secretaries (ESSAS) shared learning groups - All ongoing - Professionally qualified staff providing Advice
2	Legal	Corporate Governance non –compliance with Constitution, procedures, financial rules and standing orders, ultra vires, legal challenge standards issues for members	Medium / High	- Failure to deliver on Priorities (reputational and financial) - Financial – legal challenge and costs of that	- Chief Legal Officer	- Monitoring Officer attendance at CMG, PPR, Cabinet and Council - Monitoring Officer at Standards Committee and training for members on standards issues. - Legal advice to other decision-making committees eg Planning Committee and Licensing Committee and training for members of those committees. - Professionally qualified staff providing advice - All on-going
3	Legal	Contracts – instructions - lack of full, precise and timely instructions from client departments	Medium / High	- Financial – failure to achieve best value for authority - Time pressures on funding	- Chief Legal Officer	- Professionally qualified staff providing advice on what is required - Contribution to training of client officers - Improvement plan actions of improved communications with client officers - All ongoing

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4	Legal	Contracts – applying the law - non compliance with EU procurement rules	Low / High	- Financial – legal challenge from unsuccessful tenderers - Reputational	- Chief Legal Officer	- Professionally qualified staff subject to CPD. - Regular updating training on EU procurement rules. - Attendance at ESSAS Contracts Group - Work with Procurement Officer - All on-going
5	Legal	Losing staff at a key time – resourcing	Medium / High	- Financial – cost of outsourcing or locum assistance - Reputational – risk of failure to deliver - Undue pressures on service	- Chief Legal Officer	- Loss of staff – back up through East Sussex Solicitors and Secretaries (ESSAS) standard fee agreement and Sussex Consortium Framework Agreement - High profile matters – identified for outsourcing at an early stage of instruction. - Sharing information within the team - Use of locum staff where absence is to be prolonged. - Professionally qualified staff providing advice - On-going



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Service: **DEMOCRATIC SERVICES**

	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
1	Legal & Democratic Services	Compiling and maintaining the Electoral Register Statutory timetable and requirements not met	Low / High	<ul style="list-style-type: none"> <li>- Legal – residents disenfranchised and not able to vote leading to a challenge to the election.</li> <li>- Financial – costs of legal challenge and re-running elections.</li> <li>- Reputational- mistrust by residents of accuracy of the Electoral Register and future election results.</li> </ul>	- Head of Corporate Services	<ul style="list-style-type: none"> <li>- Professionally qualified and trained staff with regular skills and knowledge updating.</li> <li>- High quality software package in place.</li> <li>- Contracts in place with printers and software suppliers.</li> </ul>

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	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
2	Legal & Democratic Services	<p>Organisation of Elections</p> <p>Statutory timetable and requirements not met.</p> <p>-.</p>	Medium / High	<ul style="list-style-type: none"> <li>- Legal – residents disenfranchised and not able to vote leading to a challenge to the election.</li> <li>- Financial – costs of legal challenge and re-running elections.</li> <li>- Reputational- mistrust by residents of accuracy of the Electoral Register and future election results.</li> </ul>	- Head of Corporate Services	<ul style="list-style-type: none"> <li>- Professionally qualified and trained staff with regular skills and knowledge updating.</li> <li>- Project Plan for each election in place with a Project Group, also an Elections Committee chaired by the Returning Officer.</li> <li>- East Sussex wide Electoral Services Network available for support and advice and a good working relationship with the Electoral Commission has been established.</li> <li>- Returning Officer and Deputies undertake training.</li> <li>- Making appointments for a full establishment</li> </ul>
3	Legal & Democratic Services	<p>Committee administration</p> <p>Statutory publication deadlines missed for agendas and the Forward Plan and meetings have to be cancelled delaying key decisions.</p> <p>Officers/Departments miss deadlines for reports.</p>	Low / High	<ul style="list-style-type: none"> <li>- Legal</li> <li>- Leaves HBC open to challenge, for example if Planning Applications are delayed or budget deadlines missed.</li> <li>- Financial – costs of legal challenges.</li> <li>- Reputational – High risk of bad media and public profile.</li> </ul>	- Head of Corporate Services	<ul style="list-style-type: none"> <li>- Professionally trained staff with flexible approach.</li> <li>- Officers frequently chased and reminded about report deadlines.</li> </ul>

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	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
4	Legal & Democratic Services	Losing staff at a key time  Statutory timetable and requirements not met	Medium / High	- Trained staff leave or not available during key periods and the overall reduction in HBC complement creates temporary cavassers and election staff recruitment difficulties.	- Head of Corporate Services	- Democratic Services is a small team and all members have a mix of committee, member support and electoral responsibilities to build in resilience. - All have and continue to work significant additional hours to ensure deadlines and responsibilities are fully met. - Temporary staff (cavassers, polling station, count and postal vote staff) recruited well in advance of cavass periods and elections. - Arrangement in place for Rother DC Elections Team to assist with elections during the years that Hastings has elections and they do not and vice versa.

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**Corporate Resources Directorate**

Service: **FORESHORE TRUST (FT)**

	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
1	FT	Corporate Governance non –compliance with articles of association or Charity Commission rules	Medium / High	<ul style="list-style-type: none"> <li>- Failure to deliver on priorities (reputational and financial)</li> <li>- Financial – legal challenge and costs of that</li> </ul>	- Chief Legal Officer	<ul style="list-style-type: none"> <li>- Protector attendance at Charity Committee.</li> <li>- Providing legal advice as appropriate</li> <li>- Training for Charity Committee members</li> <li>- All on-going</li> </ul>
2	FT	<p>Charity Committee administration</p> <p>Statutory publication deadlines missed for agendas and the Forward Plan and meetings have to be cancelled delaying key decisions.</p> <p>Officers/Departments miss deadlines for reports.</p>	Low / High	<ul style="list-style-type: none"> <li>- Legal</li> <li>- Leaves HBC open to challenge, for example if Planning Applications are delayed or budget deadlines missed.</li> <li>- Financial – costs of legal challenges.</li> <li>- Reputational – High risk of bad media and public profile.</li> </ul>	- Chief Legal Officer	<ul style="list-style-type: none"> <li>- Professionally trained staff with flexible approach.</li> <li>- Officers frequently chased and reminded about report deadlines.</li> </ul>

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	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
3	FT	Income  Loss of Visitors to Hastings e.g. Major Pollution incident, water quality, major disaster elsewhere in Hastings.	Medium / High	- Budget deficit - Loss of 6 months income would equate to around £1½m	- Head of Finance - Chief Accountant	- ensure regular budget monitoring reports distributed followed up by meetings  - report variances to Charity Committee so any budget deficits can be addressed - report variances at each meeting - Maintain adequate Reserves
4	FT	Maintain Buildings and Infrastructure  - Need for a long term repair and renewal programme	Low/Medium	- Build up of urgent and costly repairs (Planned maintenance reduces costs)	- Head of Amenities, Resorts and Leisure	Production, maintenance and regular review of repair and Renewal programme – based on regular inspection of assets. Ensure compliance of lease obligations Maintain and accumulate sufficient funds to finance agreed programme
5	FT	Unforeseen operational expenditure	Medium/High	- Reputation damage - Unable to meet commitments - Legal liabilities	- Head of Amenities, Resorts and Leisure	- Maintain adequate Reserves
6	FT	Treasury Management - cash flow - Loss of money/fraud/theft - Reduction of investment Interest - Cost of borrowing	Low/Medium Low / High Low / Low  Low / Low	- Trust balances of £2m	Head of Finance	- Use of External Advisers - Sector - Ensure staff are well trained - Insurance cover in place for potential fraud and dishonesty and theft - Insurance cover in place for loss of Money - Maintain adequate Reserves

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	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
7	FT	Cash collection contract - Firm collapses - Theft by company	Low / Low low / Low	- Loss of money (up to £200k)	Head of Finance	- Continue daily monitoring of cash banked - Regular communication with supplier if the contract is not complied with - Insurance
8	FT	Uninsured properties / risks	Low / Medium	- Properties not insured - Loss of money in the event of uninsured loss	Head of Finance	- Ensure thorough renewals process each year - Make sure we liaise with estates/building services to ensure all properties are properly insured.
9	FT	Business Continuity	Low/ High	- Loss of Income, - Payments not made, - Treasury Management – financial loss	- Head of Finance - Chief Accountant	- Robust HBC financial systems - HBC business continuity planning
10	FT	Loss of key staff	Low / Medium	- Stress - Errors / omissions - Financial loss - Poor advice	- Chief Accountant - Head of Finance - Chief Legal Officer - Executive Manager People and Organisational Development	- Keep staff motivated - Ensure knowledge is shared - Terms and Conditions

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	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
11	FT	Changes in Financial legislation - Financial accounts compliance with Charity SORP	Low / Medium	<ul style="list-style-type: none"> <li>- Failure to produce accounts</li> <li>- Qualified by auditor</li> <li>- Staff time</li> <li>- Staff costs</li> <li>- Reputation undermined</li> </ul>	<ul style="list-style-type: none"> <li>- Head of Finance</li> <li>- Chief Accountant</li> </ul>	<ul style="list-style-type: none"> <li>- Work with Manningtons experienced firm</li> <li>- Regular liaison with HBC external auditors (PKF) and also Foreshore Trust auditors (Manningtons)</li> <li>- Train staff</li> </ul>
12	FT	Budget settings <ul style="list-style-type: none"> <li>- No decisions</li> <li>- Late decisions</li> <li>- No processes</li> </ul>	Low / Medium	<ul style="list-style-type: none"> <li>- Poor Financial management</li> </ul>	<ul style="list-style-type: none"> <li>- Head of Finance</li> <li>- Chief Accountant</li> </ul>	<ul style="list-style-type: none"> <li>- Ensure regular budget monitoring reports distributed.</li> <li>- Report variance reporting through performance review</li> <li>- Provide appropriate financial advice to members and officers</li> <li>- Consider Whole life costing of decisions/ projects</li> <li>- Consider Revenue Implications of new projects</li> </ul>
13	FT	External suppliers <ul style="list-style-type: none"> <li>- Bankruptcy, Administration</li> </ul>	Medium / High	<ul style="list-style-type: none"> <li>- Depends which contract</li> </ul>	<ul style="list-style-type: none"> <li>- Chief Accountant</li> </ul>	<ul style="list-style-type: none"> <li>- Financial health checks on contracts</li> </ul>
14	FT	Unsafe structures leading to Public Liability Claims e.g. injury on trust land	Medium/Medium	<ul style="list-style-type: none"> <li>- Financial Loss</li> <li>- Reputation</li> </ul>	<ul style="list-style-type: none"> <li>- Resorts Services Manager</li> </ul>	<ul style="list-style-type: none"> <li>- Regular evidenced inspections carried out.</li> <li>- Proactive works maintenance programme carried out</li> </ul>

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	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
15	FT	Changes in legislation – Charity Law	Low/Medium	- Reputation undermined  - Financial penalty	- Chief Legal Officer	- Professionally trained legal staff



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**Environmental Services Directorate Risk Register**

Service: **AMENITIES, RESORTS AND LEISURE**

<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Seafront Concrete Structures (Resort Services)	Extensive deterioration or collapse	Low/High	Financial impact. Danger to public safety. Loss of amenity. Reputation undermined.	Head of Service / Resort Services Manager	Annual concrete inspections in place with programme of minor repairs. Priority repair works tendered and completed in 2012.  Ongoing programme – further works being planned for 2013.
Bathing Water Quality (Resort Services)	Bathing water fails to meet new EU standard by deadlines (POSSIBLY A CORPORATE RISK RATHER THAN OPERATIONAL?)	High/High	Loss of tourism income Reputational damage Extensive operational precautions required.	Resort Services Manager	Working with partners to address known problems. Preparing for required notices and signs and testing regime.
White Rock Theatre (Resort services)	Falling audience numbers.	Med/Med	Reputation undermined. HBC investment questioned.	Head of Service / Resort Services Manager / Lead Member	Monthly review of activities, results and plans. Close liaison with new theatre manager.
Cliff Railways (Resort Services)	Failure to complete refurbishment contract satisfactorily because of dispute with consultant engineer.	Low / Low	Officer Time. Increased costs. Potential of additional loss of service if works delayed.	Resort Services Manager	Resolution meeting held and timetable of actions agreed with consultant engineers. Priority items now resolved and completed. Annual maintenance, inspections, insurance checks programme being planned and put in place for 2013.

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Cliff Railways (Resort Services)	Income does not reach target in high season (poor weather, higher prices)	Med/Med	Loss of profit supporting other HBC operations	Head of Service/Resort Services Manager	Marketing initiatives being explored such as participation in a shared pass for Summer 13 with Smugglers' Adventure and Hastings Castle.
Museum (Resort Services)	Loss of exhibits due to theft, damage through fire, vandalism, alarm failure, staff failure.  Loss of service and/or reputation during Old Town Hall Museum operational review.	Low / High  Low / Low	Financial loss. Loss of service (closure). Cultural loss. Reputation undermined.  Loss of reputation. Cultural loss. Loss of service.	Resort Services Manager, Museum Curator  Head of Service / Resort Services Manager, Politicians.	Additional exterior security added. Recommendations of Insurance Company's security review currently being implemented. Alarm contracts maintained. Staff trained. Procedures manual updated. Disaster Plan update completed.  Fire Risk Assessments completed. Security Audits to be reviewed. Regular review of arrangements and staff training have been implemented.  Liaison through Museum Committee – final OTH report due 03 Dec 2012. O&S report 22 Nov 2012. Programme of activities delivered successfully. Revamp of exhibition space completed.

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Flood Risk Management (Resort Services)	Loss of Government Funding	Medium / Medium	Loss of life Loss of amenity Financial impact	Service Manager	Enhanced / cost effective revenue based maintenance programme to increase time frame for replacement of flood defences. Alternate funding streams identified via DEFRA and Environment Agency. Medium Term Plan used effectively and in close liaison with EA Flood Risk Management Team.
Leisure Services	Risk of loss or reduction of external funding.	Med / Med	Loss or reduction of services. Failure to meet local need and public expectations.	Service Manager	We continue to submit external funding applications for a range of leisure projects. A series of small grants have been awarded.
	Our failure to deliver as per external funding contractual agreements.	Low / High	Claw back of external funding. Reputation undermined. Legal action. Overspend.	Service Manager	Regular monitoring and evaluation of projects which is formally fed back to principle funding partners as per funding agreements. Regular liaison with funders. Review budgets regularly.
	Duty of Care to participants & staff	Low / High	Impact on safety of individuals. Legal action. Reputation undermined.	Service Manager	Staff training continues to be reviewed this quarter (includes casuals).
Adventure Playground - Future (Leisure Services)	Failure to operate the Adventure Playground.	Low / Med	Loss or reduction of service. Failure to meet public expectations and demand. Reputation undermined.	Service Manager in partnership with In2Play.	Monthly meetings with In2Play are continuing in order to discuss updates regarding the APG Funding Plan. Further funding continues to be sought for future years.

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Grounds Maintenance Joint Contract between HBC/RDC/ Amicus Horizon (Amenities)	Contract Specifications not being fulfilled	Low/High	Partnership structures will be agreed to monitor the contract and its implementation.	Service Manager	Successful joint partnership procurement between RDC/HBC/Amicus has resulted in one contractor with significant savings being realised. Continued partnership working will be monitored.
Duty of care to the Public (All Services)	Failures of child protection. Negligence in maintaining assets. Out of date policies. Failure to ensure fully trained and competent staff.	Med / Med	Injury Claims Financial impact Reputation undermined	Head of Service	All staff who have unsupervised access to children and vulnerable adults have advanced CRB check in place. Events/activities designed to minimise risk. Risk assessments & periodic system of inspection in place for all park sites and buildings. Legionella, fire and asbestos risk assessments & controls in place. Regular electrical inspections in place. Programme of asset maintenance work in place to maintain all assets. Policies reviewed regularly. Staff training needs assessed at performance reviews, including Health & Safety updates. Contracts monitored with specific arrangements for H&S reporting via monthly meetings.

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**Environmental Services Directorate Risk Register**

Service: **ENVIRONMENTAL HEALTH AND WASTE SERVICES**

<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Environmental Health	Loss of corporate IT hardware due to fire, flooding, power outage etc.	Low / Medium	- Loss of access to data - Interruption to service delivery	Head of Environmental Services in relation to IT hardware used by his services & their BCP arrangements.	The majority of staff working in Environmental Services are equipped with laptops or tablet pcs & are enabled to work at home. This also now includes administrators. Experience has shown that these services can continue to operate despite problems accessing HBC premises, & that communications can be maintained reasonably well even if HBC telephony & IT systems are down. Data is backed up by IT Team. Good basic BCP arrangements are in place.
Cremation	Total failure to provide service / Limited capacity (equipment).	Low/High	Loss of income. Health issue. Reputation undermined.	Head of Environmental Health & Parking.	Arrangement in place with Eastbourne Crematorium to undertake cremations in the event of total loss of service. Cremators regularly maintained & maintenance contract in place. Relief cremator operators trained to provide sickness/absence cover and ability to run service in shifts at peak times of demand. New plant installed and operational

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to avoid/mitigate risk, time frame for implementation and latest position
					– February 2011. Considered to be more reliable with excellent maintenance support services.
Waste	Unable to collect waste due to strike action, weather, problem with disposal route, staffing issue.	Low / High	<ul style="list-style-type: none"> <li>- Piles of rubbish on street</li> <li>- Health risks</li> <li>- Financial impact</li> <li>- Reputation undermined</li> </ul>	Head of Environmental Health & Parking	<p>Strike Action: Veolia would seek to employ Agency staff and/or staff from other contract areas to cover</p> <p>Weather: Veolia's resources would be redeployed as necessary to clear collection vehicle access routes. Collections would then be made as soon as possible and within the same working week where practicable.</p> <p>Disposal Route Problems: If the usual disposal site is unavailable Veolia would deliver waste to another approved disposal site.</p> <p>Staffing issues: In the event of staffing problems Veolia would look to employ agency staff and/or staff from other contract areas.</p>
Waste	Failure to procure new waste, recycling & cleansing services before existing contract expires in July 2013	Low/ High	<ul style="list-style-type: none"> <li>- Piles of rubbish on street</li> <li>- Health risks</li> <li>- Financial impact</li> <li>- Reputation undermined</li> </ul>	Head of Environmental Health & Parking	The East Sussex Joint Waste Procurement Project has resulted in the procurement of a new joint contract which will deliver higher standards at lower cost. The contract was signed & sealed ON Wednesday 5 <sup>th</sup> December 2012.

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Waste	Serious failure of various aspects of the mobilisation of the new contract Eg. Failure to secure appropriate consents for new depots to be used for bulking recyclates	Medium / High	Reputation undermined Bad publicity	Head of Environmental Health & Parking	The East Sussex Waste Partnership is working closely with the incoming waste contractor & risks have been under discussion throughout the procurement process. Risks are being reported to the Joint Waste Committee regularly, most recently on 30 <sup>th</sup> November 2012, & frequency of reporting increasing throughout next 6 months. Head of Service fully engaged in mobilisation process & meeting with contractor regularly.
Licensing	Reduction of income generation from economic downturn.	Low / Low	- Financial loss for Council - Unable to balance budget - Increased legal cost - Reputation undermined	Head of Environmental Health	Budget regularly monitored including income generation. If income dropped dramatically could reduce costs by decreasing staffing. In fact recession appears to be triggering more applications e.g. taxis. In fact demand for the service appears to have increased through the recession not decreased.
Environmental Health	Failure of stray dog contract due to contractor going into administration.	Low / Medium	- Failure to meet statutory duty - Nowhere to put stray dogs - Impact on Council - Reputation undermined	Head of Environmental Health	Periodic financial checks carried out by finance satisfactory, & contract extended for a further 2 years ending 31 <sup>st</sup> March 2013. In process of procuring a new joint contract via the East Sussex procurement hub.

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
			- Cost and admin of providing an alternative service which is not budgeted for		Should be completed by February 2013.
Environmental Health & Waste	Legal challenge - Appeals against enforcement action i.e. judicial review, ombudsmen review - Lack of case law to back up new legislation and its interpretation	Low / Medium	- Staff time used - Financial implications - Reputation undermined	Head of Environmental Health	Work closely with Legal Team on prosecutions and enforcement cases to reduce risk of inappropriate action being pursued.
Environmental Health & Licensing	Staff shortages due to retirement, staff leaving and not being replaced etc.	High / Low	- Unable to deliver full service - Increase in complaints - Bad publicity locally	Head of Environmental Health	Could use agency staff as a short term solution as there are many companies offering this specialist help albeit at relatively expensive rates compared with in-house staff.
Environmental Health & Waste	Partnership working e.g. police, trading standards, environment agency, HSE, PCT – partners withdraw or reduce commitment to projects or issues.	Medium / High	- Unable to achieve objectives - Unable to meet some legal requirements i.e. timescales - Reputation of Council undermined	Head of Environmental Health	Generally no sign of this arising except for in relation to the HBC CCTV Control Room where ESCC likely to withdraw much of funding as a result of terminating on street parking agency agreement. All costs to be reviewed and alternatives considered.



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**Environmental Services Directorate Risk Register**

Service: **PARKING AND EMERGENCY PLANNING**

<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
On Street Parking Enforcement Services	County Council takes service back and privatises.	High / High	- Staff loss - Income loss - Loss of additional service to town (CCTV, quality of service, accountability)	Director of Environmental Services & the Head of Environmental Health, Parking & Highways	On 8 <sup>th</sup> August 2011 ESCC Cabinet agreed to terminate Hastings Parking Agency Agreement and to appoint a private contractor to operate the service. Following negotiation with ESCC Notice period extended so now ends 31 <sup>st</sup> March 2013. Work to provide an off street parking enforcement service as part of a wider waste, parking & streetscene services team is well advanced. Work on options to continue the operation of a CCTV control room service is also nearing completion.
CCTV Monitoring System	The aging analogue system suffers serious failure	High / High	Loss of ability to monitor all of CCTV cameras across borough including those associated with off street carparks, on street, & HBC premises	Director of Environmental Services & the Head of Environmental Health, Parking & Highways	Total modernisation of hardware & replacement with digital operating systems is planned as part of the way forward for a more sustainable CCTV monitoring service. In meantime the existing system is regularly inspected & maintained.
Underground car parks	Fire, explosion, flooding, structural failing, security, personal safety, third party equipment and equipment.	Medium / High	- Loss of life / property - Loss of income - Amenity loss - Service loss - Reputation undermined	Head of Environmental Health, parking & Highways & the Parking &	As a result of the fire in the Grand Parade Car Park the Executive Finance Manager has reviewed the Council's insurance cover for such locations.

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
				Highways Manager Executive Finance manager	

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**Regeneration Directorate**

Service: **HOUSING SERVICES**

<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Housing	Failure to meet key performance targets	Medium /Medium	<ul style="list-style-type: none"> <li>- increased costs</li> <li>- reputation undermined</li> <li>- legal challenge</li> <li>- public impact</li> <li>- Inequality of public access</li> </ul>	Head of Housing Services	<ul style="list-style-type: none"> <li>- service monitoring through weekly team meetings</li> <li>-quarterly review and reports of key indicators/targets through Performance Review meetings</li> <li>Service reviews (homelessness strategy revision, allocations review, revised renewal policies)</li> <li>- Consideration of contingency plans/budgets through management team meetings &amp; budget review meets.</li> <li>- business continuity planning &amp; risk assessments</li> <li>- alternative delivery models (e.g. Local Space initiative, CPO programme)</li> </ul>
Housing (Options)	Failure to manage the impact of changes in the law and/or government policy initiatives (e.g. impact of welfare benefit changes on homelessness levels)	Medium / Medium	<ul style="list-style-type: none"> <li>- legal challenge</li> <li>- reputation undermined</li> <li>- Increased expenditure</li> <li>- quality of service</li> <li>- public health &amp; wellbeing</li> </ul>	Head of Housing Services  Options Manager	<ul style="list-style-type: none"> <li>- staff training plan</li> <li>- maintain/raise corporate awareness through Performance Review/ Scrutiny/Cabinet etc</li> <li>- Regular stakeholder engagement through HASS meetings, Landlord forums.</li> <li>- regular internal/external communication ( eg @Bit)</li> <li>- policy reviews of Homelessness, Allocations</li> <li>- Impact &amp; risk assessments</li> <li>- improvements in cross team /service cooperation (e.g. Housing /HB team action Plan)</li> </ul>

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Housing (Renewal)	Failure to timely and effectively implement new policy initiatives (EG Additional Licensing, Local Space Project)	Medium/Medium	<ul style="list-style-type: none"> <li>- reputation undermined</li> <li>- unmet targets</li> <li>- Impact upon staffing</li> <li>- Impact upon public health/wellbeing</li> <li>- legal challenge</li> <li>- financial cost</li> </ul>	<p>Head of Housing Services</p> <p>Renewal Manager</p>	<ul style="list-style-type: none"> <li>-effective project management</li> <li>- Project Team Meetings in place and minutes produced</li> <li>-project team and communication plan in place</li> <li>-communication planning (website update)</li> <li>-regular review &amp; progress monitoring (management team &amp; briefings)</li> <li>-additional short term resourcing in place</li> <li>-effective budget planning</li> </ul>
Housing (Options)	Failure to manage customer expectations	Low / Medium	<ul style="list-style-type: none"> <li>- reputation undermined</li> <li>- disengagement &amp; demoralisation of staff</li> <li>- customers dissatisfaction</li> <li>- legal challenges</li> <li>- adverse impact on partnership</li> <li>- cost</li> </ul>	<p>Head of Housing Services</p> <p>Options manager</p>	<ul style="list-style-type: none"> <li>- communication strategy to include training for local organisations, information sharing, myth busting, promoting awareness of early intervention to prevent homelessness, promoting PRS accommodation</li> <li>- monitoring and review of statistics</li> <li>- Involve / empower customers</li> <li>- Regularly monitor customer satisfaction questionnaires, reporting at management meetings and take restorative steps where necessary if issue identified.</li> </ul>

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to avoid/mitigate risk, time frame for implementation and latest position
Housing (Renewal)	Failure to manage the implications of a loss of funding	Medium/ Medium	<ul style="list-style-type: none"> <li>- unmet targets</li> <li>- loss of capacity</li> <li>- reputation undermined</li> <li>- lack of equality of service</li> <li>- legal challenge</li> <li>- Reduction in performance</li> <li>- impact upon staff in other departments</li> <li>- Increased homelessness</li> <li>- Poor housing stock</li> <li>- Impact on regeneration</li> </ul>	Head of Housing Services  Renewal Manager	<ul style="list-style-type: none"> <li>- explore alternative internal / external funding models (e.g. Local Space)</li> <li>- improve communications (e.g. Area Board meets, Landlords Forum, web site)</li> <li>- policy review / options (revised financial assistance &amp; enforcement policy)</li> <li>- New Request for service delivery model in place</li> <li>- Renewal teams restructured,</li> <li>- New external adaptation support service in place</li> <li>-</li> </ul>
Housing	Ineffective service organisational re-structure and flexible working implementation	Medium/Medium	<ul style="list-style-type: none"> <li>• Lack of information flow and poor decision making</li> <li>• Remoteness from operational activities</li> <li>• Uncertainty as to roles and duties</li> <li>• Decisions made at inappropriate level</li> <li>• Excessive bureaucracy</li> <li>• Poor performance</li> </ul>	<ul style="list-style-type: none"> <li>• Head of Housing</li> <li>• All Managers</li> </ul>	<ul style="list-style-type: none"> <li>• Clear understanding of roles and duties</li> <li>• Effective and timely Service Plans</li> <li>• Regular review at monthly Management Team meetings.</li> <li>• Flexible working practices documented, implemented and risk assessed</li> <li>• Training and development programmes</li> <li>• Regular team meetings</li> </ul>

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Housing	Health and Safety	Medium / High	<ul style="list-style-type: none"> <li>• Accidents to staff resulting in time lost</li> <li>• Enforcement action by HSE against the Council</li> <li>• Civil action by employees against the Council</li> </ul>	<ul style="list-style-type: none"> <li>• All Managers</li> <li>• Buildings Manager</li> </ul>	<ul style="list-style-type: none"> <li>• Training and development programmes</li> <li>• Risk Assessment</li> <li>• Flexible working practices implemented and risk assessed</li> <li>• Review of accidents and dangerous occurrences at Monthly Managers Meetings</li> <li>• Regularly review at Team Meetings</li> </ul>
Housing (Renewal)	Loss of key staff and members- Knowledge Management	Medium / Medium	<ul style="list-style-type: none"> <li>• Statutory targets not met</li> <li>• Key priorities and projects not met</li> <li>• Loss of skills and knowledge</li> </ul>	<ul style="list-style-type: none"> <li>• All Managers</li> <li>• Head of Housing</li> </ul>	<ul style="list-style-type: none"> <li>• Succession Planning</li> <li>• Documentation of systems, plans, procedures and projects</li> <li>• Training and development programmes</li> <li>• Induction programme</li> <li>• Career Grade Structure in place</li> <li>• Retention Policy in place</li> </ul>
Housing(Renewal)	Licensing – Insufficient HMOs licensed.	Low/High	<ul style="list-style-type: none"> <li>• Targets not met</li> <li>• Financial burden on the organisation</li> <li>• Posts at risk</li> <li>• Increased risk of</li> </ul>	<ul style="list-style-type: none"> <li>• Head of Housing</li> <li>• Renewal Manager</li> </ul>	<ul style="list-style-type: none"> <li>• Effective management of scheme</li> <li>• Incentivise return of licensing applications.</li> <li>• Contingency built into financial modelling</li> <li>• Systems and procedures in place ahead</li> </ul>

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			homelessness <ul style="list-style-type: none"> <li>• Standards and management of HMOs decline</li> </ul>		of implementation to ensure a quick start to the scheme <ul style="list-style-type: none"> <li>• Training and development programmes</li> <li>• Proactive targeting of HMOs</li> <li>• Publicity plan and continue 'HMO Week' initiatives.</li> </ul>
Housing (Renewal)	Reductions in the use of enforcement	Low/High	<ul style="list-style-type: none"> <li>• Targets not met</li> <li>• Posts at risk</li> <li>• Increased risk of homelessness</li> <li>• Standards and management in the PRS decline</li> <li>• reputation undermined</li> <li>• legal challenge</li> <li>• Poor housing stock</li> <li>• Impact on regeneration objectives</li> </ul> public health & wellbeing	<ul style="list-style-type: none"> <li>• Head of Housing</li> <li>• Renewal Manager</li> </ul>	<ul style="list-style-type: none"> <li>• Training and development programmes</li> <li>• Effective management of scheme</li> <li>• Systems and procedures in place and reviewed</li> <li>• Business continuity planning &amp; risk assessments</li> <li>• Alternative delivery models</li> </ul>

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to avoid/mitigate risk, time frame for implementation and latest position
Housing (Renewal)	Failure to maintain CPO Programme for Empty Homes	Low/High	<ul style="list-style-type: none"> <li>• Targets not met</li> <li>• Posts at risk</li> <li>• Number of empty homes increase</li> <li>• Funding at risk (new homes bonus)</li> <li>• Reputation undermined</li> <li>• Legal challenge</li> <li>• Poor housing stock</li> <li>• Impact on regeneration objectives</li> <li>• Public health &amp; wellbeing</li> <li>• Key priorities and projects not met</li> </ul>	<ul style="list-style-type: none"> <li>• Head of Housing</li> <li>• Renewal Manager</li> </ul>	<ul style="list-style-type: none"> <li>• Training and development programmes</li> <li>• Effective management of scheme</li> <li>• Systems and procedures in place and reviewed</li> <li>• Project team and communication plan in place</li> <li>• Proactive targeting of long term empty homes</li> </ul>



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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to avoid/mitigate risk, time frame for implementation and latest position
Housing	Failure of initiatives and projects to maintain delivery in the Housing Renewal Area	High/High	<ul style="list-style-type: none"> <li>• Targets not met</li> <li>• Posts at risk</li> <li>• Increased risk of homelessness</li> <li>• Standards and management in the PRS decline</li> <li>• Reputation undermined</li> <li>• Legal challenge</li> <li>• Poor housing stock</li> <li>• Impact on regeneration objectives and deprivation increases</li> <li>• Public health &amp; wellbeing</li> </ul>	<ul style="list-style-type: none"> <li>• Head of Housing</li> </ul>	<ul style="list-style-type: none"> <li>• Effective management of scheme</li> <li>• Systems and procedures in place and reviewed</li> <li>• Project team and communication plan in place</li> <li>• Work with partners to create new programmes for delivery (e.g. Local Space, Amicus Horizon)</li> <li>• Proactive Enforcement Programmes maintained in the 7 streets</li> <li>• Business continuity planning &amp; risk assessments</li> <li>• Publicity plan</li> <li>• Extend the life of the Housing Renewal Area</li> </ul>

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**Regeneration, Homes and Communities Directorate**

Service: **MARKETING AND COMMUNICATIONS**

<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Marketing & Communications	Failure of IT equipment	Low / High	- Very serious impact in short term for all services	IT Manager	- Alternative and backup services being provided, regular backup off-site of data. Servers now 'virtualised', and working towards dual Town Hall/Aquila capability
Marketing & Communications	Failure of call centre project	Medium / Medium	- Reputation undermined - Impact on service delivery - Financial implications	Project Management team	Regular Board meetings held, risk register a standing item on the agenda. Project now close to completion, all major services transferred.
Marketing & Communications	Seafood & Wine Festival Unsuccessful	Medium/Medium	- Reputation undermined - Financial implications	Head of Communications & Marketing	- Regular officer and stakeholder meetings held - Risk assessment undertaken in conjunction with professional colleagues and emergency services
Marketing & Communications	Reputational risk of a bad PR story	High / High	- Reputation undermined locally and nationally - Resources used to deal with situation - Staff morale declines - Political fall-out	Head of Comms & Marketing	- Weekly PR meetings held at senior level - Senior politicians and officers aware of impact of bad PR - Immediate damage limitation for bad stories, PR officer on call 24/7 - Very difficult to prevent a journalist writing a 'bad' story if they want :- and the damage is done once published

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**Regeneration, Homes and Communities Directorate**

Service: **PLANNING**

<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Development Control	1. Error in making a Planning Decision	Low / Medium	<ul style="list-style-type: none"> <li>- Financial implications – judicial review, legal cost &amp; compensation</li> <li>- Reputation undermined</li> </ul>	Section Manager	<p>There are procedures in place to monitor progress on a number of levels as applications progress. There is close supervision of staff by Senior Planners, the Development Control Manager and the Borough Planning Officer. This is facilitated through casework meetings, one to one meetings and checking of delegated and committee reports.</p> <p>This is reliant on experienced and qualified staff and adequate capacity for the workload which exists at present.</p>
Development Control	2. Lose Planning Appeal decision	Low/Medium	<ul style="list-style-type: none"> <li>- Reputation undermined</li> <li>- If costs awarded maybe financial implications</li> </ul>	Section Manager	<p>This is reliant on experienced and qualified staff that remain up to date with current guidance and policy through continuing professional development and this is the case at present.</p> <p>It is important that Planning Committee Members are trained and understand the consequences of refusing planning consent. A programme of training each quarter is already in place.</p>
Development Control	3. Error or delay in undertaking planning enforcement	Low/Medium	<ul style="list-style-type: none"> <li>- Reputation undermined</li> <li>- financial compensation</li> </ul>	Senior Enforcement Office & Section Manager	<p>There are procedures in place to record allegations and breaches of planning legislation. Those are investigated on a prioritised basis and the outcomes are recorded.</p> <p>The Council has experienced planning enforcement staff</p>

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to avoid/mitigate risk, time frame for implementation and latest position
			- additional legal advice		that are qualified to degree level in planning and related discipline and they undertake continuing professional development. The staff are also fully trained in the Police and Criminal Evidence Act (PACE), the procedures required in law to pursue prosecution.
Conservation	4. Error in managing & processing Conservation Grant schemes	Low/Medium	- Financial implications  - Reputation undermined	Assistant Projects Manager	<p>There are procedures in place to process grant applications to ensure that errors in managing and processing are minimised. Experienced and qualified staff vet applications in detail.</p> <p>Grant offers are dependant on competitive tender submissions being closely scrutinised by Council staff.</p> <p>Close monitoring of progress of the work is undertaken by Council staff to ensure acceptable quality and detail is achieved. Stage payments are made as the work progresses only on production of paid invoices. Final payments are held back until the work is satisfactorily completed.</p> <p>The Townscape Heritage Initiative for Central St Leonards funded mainly by Heritage Lottery and the</p>

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
					Council will be externally audited by Heritage Lottery at the end of scheme which is likely in 2014.
Development Control and Local Land Charges	5. Financial management – mislay incoming money	Low / Medium	<ul style="list-style-type: none"> <li>- Financial implications</li> <li>- Pressure on resources trying to rectify situation</li> <li>- Reputation undermined</li> </ul>	Section Manager	There is a corporate procedure to record incoming payments. This procedure has been regularly audited.
Development Control	6. Incorrect information comes from call centre	Low / Medium	<ul style="list-style-type: none"> <li>- Impact on service delivery</li> <li>- Resources wasted</li> <li>- Reputation undermined</li> <li>- Possible compensation</li> </ul>	Section Manager	A detailed searchable 'frequently asked questions' database has been created. New Contact Centre staff have one to one training as part of their induction on planning matters. There is a backup of staff members from the Development Control team to provide support and guidance. The Development Control staff create a log of calls referred from the Contact Centre which is used by the Contact Centre Manager in weekly training sessions.

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Development Control, Local Land Charges and Planning Policy	7. Lack of staffing / financial resilience	Low / Medium	- Inability to do the work  - Unacceptable deficit	Head of Service and Section Managers	Procedures have been reviewed to ensure maximum efficiency. In the event of under capacity, outside staff will be recruited. If over capacity occurred over a marked period, redeployment of the workforce will be considered or a reduction in the workforce may be necessary. Currently no significant spare capacity exists.
Development Control and Local Land Charges	8. Loss of data / information	Low / High	- Impact on service delivery  - Financial implications	IT service and Section Managers	<p>Electronic data is backed up. There is a separate set of documents scanned in on the UK Planning system which is held separately on a server in Glasgow. The older paper based records are stored at the Council's Archive and there is no separate comprehensive backup of these. However, all decision notices have been scanned and kept electronically. There are electronic copies of plans dating from 1948 to 1971.</p> <p>In respect of the Local Land Charges Register, this is partially electronic, but mainly records are paper based and contained at the Archive. It is possible to recreate these records from the original sources if the current set were lost, although this would be time consuming.</p> <p>All significant planning material received from 2003 is held electronically and as part of a programme to destroy redundant archived paper copies a check is being made against electronic records to ensure any missing documents are scanned.</p>

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Development Control, Local Land Charges and Planning Policy	9. Injury of staff on site and in the work environment	Low / High	<ul style="list-style-type: none"> <li>- Potential litigation</li> <li>- Financial implications</li> <li>- Impact on service delivery</li> <li>- Reputation undermined</li> </ul>	Section Managers and staff	<p>Corporate health and safety procedures are in place and are followed. Relevant training of staff is undertaken regularly including lone working etc. Personal protection equipment is provided to staff.</p> <p>Staff on site have mobile phones and are required to report their whereabouts.</p> <p>Six monthly corporate health and safety reviews are undertaken, appropriate adjustments are made and these matters are documented.</p>
Development Control and Local Land Charges	10. Loss of income due to changes in legislation and economy	Medium/High	<ul style="list-style-type: none"> <li>- Financial implications</li> <li>- Pressure on resources trying to rectify situation</li> </ul>	Head of Service	<p>Close monitoring of performance is undertaken by the finance staff and this is reported to the Head of Service on a regular basis. Measures are undertaken to respond to any significant variation of actual income to budget.</p>
Local Land Charges	11. Restitution as a result of legislative change	Low/Medium	<ul style="list-style-type: none"> <li>- Financial implications</li> </ul>	Section Manager	<p>This is the subject of current Court action as part of a Group Action involving all Local Authorities in England and Wales.</p> <p>The Government has acknowledged the issues and have made a contribution to each local authority towards these costs. Close liaison continues with senior staff in the finance, legal and planning teams and with the Local Government Association.</p>

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, time frame for implementation and latest position</b>
Building Control delivered by the Rother and Hastings Building Control Service	12. Failure to deliver service	Low/High	<ul style="list-style-type: none"> <li>- Impact on service delivery</li> <li>- Financial implications</li> </ul>	Head of Service	Under the Partnership between Rother DC and HBC to deliver the Building Control Service there is a contract which defines the procedures to change arrangements if required. The service performance will be monitored through agreed Performance Indicators contained in the Contract.



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**REGENERATION AND COMMUNITY SERVICES – REGISTER OF KEY RISKS**

<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood/Impact)</b>	<b>Potential Impact</b>	<b>Responsi bility for controls</b>	<b>Steps to avoid/mitigate risk, timeframe for implementation and latest position</b>
Regeneration and Planning Policy	Failure of Interreg ACE programme	Low/High	Financial and reputational loss	External Funding Manager	Major modification of the ACE programme completed, submitted and accepted. Programme delivery on track and in accordance with modified programme targets. One further modification is allowable within the programme lifetime, but no indication currently that this will be required. Regular liaison and monitoring of project activity by programme coordinator
Regeneration and Planning Policy	Delays or failure of HBC ACE project	Low / Medium	Loss of grant funding, reputational loss	Neighbourhood Manager (PD)	Project on target against modified programme timeframes and targets. Project team meets regularly to monitor progress and resolve issues as they arise.
Regeneration and Planning Policy	Withdrawal of another partner in the ACE Programme, or failure to deliver	Low / high	Jeopardises entire programme, financial loss	External Funding Manager	<i>Force majeure</i> issue. Regular monitoring and liaison with and between project leaders to identify and resolve problems. Partner Agreement in place with all partners which provides for withdrawing partner to honour shared cost commitment. Programme currently on target.
Regeneration and Planning Policy	Failure to delivery contractual obligations of Arts Council grant	Low / Medium	Withholding of funds, reputational damage	Neighbourhood Manager (JC)	First two years of grant funded activity successfully delivered. On target. Evaluation of this year's cultural programme will inform development of third and final year.

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood/Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, timeframe for implementation and latest position</b>
Regeneration and Planning Policy	Failure to achieve re-certification within timescale	High / Low	Reputational loss	Neighbourhood Manager (JC)	Contracted agent failed to undertake required work in time resulting in loss of certification for a period of time. Reputational loss was restricted to the contracted agent. Recertification now achieved on Dover sole and herring stocks. MSC suspended all mackerel certification in wide parts of northern Europe because of irresponsible behaviour on the part of Iceland and the Faroes fishing industry. Progress has been made in resolving this and all previously certified fisheries are awaiting lifting of suspension. The necessary work in achieving recertification in Hastings has been accomplished.
Regeneration and Planning Policy	FLAG programme: failure to deliver contractual obligations	Medium / Medium	Loss of reputation, financial loss	Neighbourhood Manager (JC)	Short term contractor in place to help meet 2012 delivery requirements. Application underway, with the MMO's approval for funding to employ dedicated project officer for remainder of programme. Revised business plan for remainder of programme to be submitted to MMO for review in January 2013. FLAG steering group monitoring programme delivery, and comprises key project delivery agents.
Regeneration and Planning Policy	Unachievable private sector match requirements to deliver individual FLAG projects	High / Medium	Financial loss – inability to draw down full grant	Neighbourhood Manager (JC)	Manage expenditure and contractual commitments. Seek programme modifications if necessary. Secure new private sector partners.  MMO is accountable body. Grant is drawn down in arrears, so no risk of clawback in the event of insufficient match.

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood/Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to avoid/mitigate risk, timeframe for implementation and latest position</b>
Regeneration and Planning Policy	No suitable interest in White Rock Baths.	High / Low	Delay to medium term regeneration plans	Head of Regeneration & Planning Policy	Lifecycle project unable to proceed as planned. External property agency contracted to identify potential commercial interests and market the site. Outcome of this exercise and alternative options to be reported to Charity Committee in 4 <sup>th</sup> Qtr.
Regeneration and Planning Policy	Hastings Pier: Hastings Pier Charity unable to secure funds for repairs and redevelopment	Medium /High	Financial	Head of Regeneration & Planning Policy	CPO action upheld by Secretary of State. Heritage Lottery Fund decision on grant given in 3 <sup>rd</sup> Qtr. HPRT and Council officers jointly working on identification of other funding streams to support redevelopment plans. Urgent works undertaken to shore up those parts of the pier most vulnerable to collapse.
Regeneration and Planning Policy	Failure to secure major funds to continue regeneration priorities	Medium / High	Financial Delay to medium and long term regeneration plans	Head of Regeneration & Planning Policy	National and European funding opportunities aggressively pursued. Hastings and Rother Task Force established to oversee and coordinate key partners' actions to deliver agreed regeneration priorities. Joint work with Thanet District Council in bidding for funding. Maintain active role on LEP subgroups to influence focus and resources on economic development of coastal areas.
Regeneration and Planning Policy	Failure to deliver Local Plan within required timeframe	Medium / High	Reputational loss, loss of local control through government imposed regulations and strictures	Head of Regeneration & Planning Policy	Formal consultation completed on Planning Strategy submission version. Examination in Public (EIP) is programmed to occur from 5 <sup>th</sup> to 14 <sup>th</sup> February 2013. Formal consultation on Development Management Plan submission version due to begin in January 2013, with EIP towards end of 2013. On target.

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood/Impact)</b>	<b>Potential Impact</b>	<b>Responsi bility for controls</b>	<b>Steps to avoid/mitigate risk, timeframe for implementation and latest position</b>
Regeneration and Planning Policy	Disputes between employers and staff, or public controversy, involving businesses supported / advised / funded	Medium / Low	Reputational impact	Economic Development & Inclusion Manager	Offer support to businesses concerned, or other appropriate support or offer of support, at earliest possible stage. Provide advice or links to guidance including on Equalities (Q4 2012-13), H&S (Q4 2012-13), Apprenticeships (ongoing). Ensure HBC operates according to relevant criteria and guidance (ongoing).