

## OPERATIONAL RISK REGISTER

March 2019

### Corporate Services and Governance Directorate

Service: **FINANCE**

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
1	Finance	Treasury Management - Loss of money - Reduction of investment interest - Cost of borrowing	Low / High  Low / Medium  Medium / Low	- Now £15-28 million invested at any one time, Operational borrowing limit £75m in 2018/19.	- Assistant Director – Financial Services & Revenues	- Use of External Advisers – Link Asset Services - Ensure staff are well trained - Ensure adequate cover - Treasury Management Strategy and Treasury Management Practices that are reviewed at least annually - Spread of investments	Use of reserves
2	Finance	Cash collection contract - Firm collapses - Theft by company	Low / High	- Reputation undermined - Loss of circa £200k	- Assistant Director – Financial Services & Revenues	- Continue daily monitoring of cash banked - Regular communication with supplier if the contract is not complied with - Careful due diligence of contractor	Insurance Contingency plan for stopping collections and safeguarding cash
3	Finance	Reduction/Loss of Government Grant (budget deficit) Fair Funding Review & Business rate retention - 2020/21	High / High	- Budget deficits	- CMG - Assistant Director – Financial Services & Revenues	- Ongoing PIER process - CMG - Efficiencies - Medium Term Financial Strategy - Generation of additional income - Service expenditure cuts/delays - Setting a sustainable budget - Proper and effective financial management across the Council - Adherence to Financial Rules and Financial Operating procedures - Realistic business cases – and whole life costing	Adequate Reserves/ Resources

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4	Finance	Uninsured properties / risks	Medium / Medium	<ul style="list-style-type: none"> <li>- Properties not insured</li> <li>- Loss of money in the event of loss</li> </ul>	<ul style="list-style-type: none"> <li>- Assistant Director – Financial Services &amp; Revenues</li> </ul>	<ul style="list-style-type: none"> <li>- Ensure thorough renewals process each year</li> <li>- Make sure we liaise with Estates to ensure all properties are adequately insured</li> <li>- Training and carry out inspections</li> </ul>	Insurance reserve for uninsured losses
5	Finance	Income stream	Medium / High	<ul style="list-style-type: none"> <li>- Budget deficit</li> </ul>	<ul style="list-style-type: none"> <li>- Assistant Director – Financial Services &amp; Revenues</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 variances to AD's and service managers so they can address any budget deficits within their service</li> <li>- Report variances quarterly through performance review</li> <li>-Active management of properties and services</li> </ul>	Adequate provisions
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>- Assistant Director – Financial Services &amp; Revenues</li> <li>- Chief Accountant</li> </ul>	<ul style="list-style-type: none"> <li>- Ensure finance system meets changing needs of business</li> <li>- Ensure full staff complement or cover</li> <li>- Business Continuity Plan in place</li> </ul>	<p>Communications plan to payee if delays are unavoidable</p> <p>Various ad-hoc options all depending on nature of the incident, for example, use the Lloyds high street branch to trade</p>
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>- Assistant Director – Financial</li> </ul>	<ul style="list-style-type: none"> <li>- Procedures documented</li> <li>- Ensure knowledge is shared and resilience built in</li> <li>- Terms and Conditions</li> </ul>	<p>Use agency staff</p> <p>Use specialist agencies to temporarily fill senior staff positions</p>

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					Services & Revenues - Personnel, Policies and Strategies - CMG		
8	Finance	Changes in legislation	Medium / Medium	- Failure to produce accounts - Qualified by auditor - Staff time & costs -Reputation Undermined	- Assistant Director – Financial Services & Revenues - Chief Accountant	- Regular liaison with our external auditors, Grant Thornton - Train staff - Attendance at conferences/workshops/seminars to understand changes and best practice	Specialist recruitment for temporary positions
9	Finance	Budget setting - No decisions - Late decisions - Inadequate processes	Low / Low	- Staff disenfranchised - Low morale - In fighting	- Assistant Director – Financial Services & Revenues - Chief Accountant	- Ensure regular budget monitoring reports distributed followed up by meetings - Report variance through performance review - PIER process - Provide appropriate financial advice as directors/senior management request - Medium Term Financial Strategy	
10	Finance	External suppliers - Bankruptcy, administration	Medium / High	- Depends which contract	- Chief Accountant	- Financial health checks - Adherence to Financial Rules when letting contracts - Effective use of Procurement Hub expertise	Security bond in place for contracts over £250,000 (where appropriate)

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Service: **ESTATES**

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
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>- Assistant Director – Finance and Revenues</li> </ul>	<ul style="list-style-type: none"> <li>- Maintain adequate staffing levels</li> <li>-</li> <li>- Ensure knowledge shared within Team</li> <li>- Terms and Conditions</li> </ul>	Use agency staff either for general staff or specialist role as the situation dictates
2	Estates	Increase in empty units / major tenant leaves	Medium / Medium	<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>- Maintain tenant relationships and get early warning</li> <li>- Maintain an overview of individual businesses and their operating environment</li> <li>- Undertake due diligence prior to purchasing new properties</li> </ul>	Maintain satisfactory level of general reserves
3	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> <li>- Planned programme of repairs and inspections</li> </ul>	Contingency plan to board up and make safe vacant buildings
4	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>- Assistant Director – Finance and</li> </ul>	<ul style="list-style-type: none"> <li>- Complete revaluation of Council property and ensure regular checks on tenanted property</li> </ul>	Insurance reserve

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					Revenues		
5	Estates	Environmental legislation introduced which we do not currently comply with.	Medium/Low	<ul style="list-style-type: none"> <li>- Units with an energy rating of F or G can't be let 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	

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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>Risk avoidance</b>	<b>Risk mitigation</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/CTR 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>- Benefit Operational &amp; Systems 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 procedures</li> <li>- Monitoring and management Reporting</li> </ul>	
2	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</li> <li>- budget setting</li> </ul>	<ul style="list-style-type: none"> <li>- Revs and Bens Service Manager</li> <li>- Revenues Operational &amp; Customer Service Manager</li> </ul>	<ul style="list-style-type: none"> <li>- Ensure a robust recovery strategy</li> <li>- Adequate resources</li> <li>- Promote CTR</li> </ul>	
3	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> </ul>	

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4	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>	- Revs and Bens Service Manager	<ul style="list-style-type: none"> <li>- Managers to work closely with HR People Strategy</li> <li>- Workforce planning</li> </ul>	Agency staff
5	Revenues & Benefits	Impact on council tax collection rates as a result of proposed changes to the Council Tax Reduction Scheme for 2019/20.	Medium/Medium	<b>Financial:</b> <ul style="list-style-type: none"> <li>- More council tax to collect</li> <li>- Increased arrears</li> <li>- Collection fund pressures</li> <li>- Budget setting.</li> </ul>	- Revs and Bens Manager	<ul style="list-style-type: none"> <li>- Work with colleagues in other Local Authorities &amp; ESCC</li> <li>- Consult with residents</li> <li>- Make contact with affected persons</li> <li>- Ensure residents are kept informed</li> <li>- Ensure a robust recovery schedule</li> </ul>	Adjust CTRS accordingly for future years
6	Revenues & Benefits	Introduction of new self-service system during 19/20	Low	System not performing as predicted	Revs and Bens Manager	<ul style="list-style-type: none"> <li>- Implementation of project managed effectively</li> <li>- Due diligence of product and supplier</li> <li>Communications plan in place for residents</li> </ul>	Changes to front and back office staffing levels not made until system is working effectively.

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Service: **AUDIT, INVESTIGATIONS AND PROCUREMENT**

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position	Risk avoidance
1	Audit	Risk of missing something in a systems audit	Low / Medium	- Loss of credibility of audit and false assurance	- Chief Auditor	- Experienced staff - Chief Auditor review of work performed	
2	Investigations	Housing Benefit Fraud or Council Tax Benefit Fraud is not rigorously investigated	Medium/Low	Reputation indirectly undermined  Council Tax overpayment does not get recovered and consequent adverse financial impact	- Chief Auditor	- Monitoring of feedback from the DWP on referred cases New initiatives mitigating fraud and error	- Meetings with DWP or potential escalation if SLA is not being delivered.
3	Procurement	Risk of Legal/Finance/IT and other Corporate Services not being included at the outset of procurement especially for joint contracts	Low / Medium	Organisational difficulties in decision taking.  - Difficulties in legally protecting the council	- Chief Auditor	- HBC programme management approach gatekeeps new initiatives/schemes to ensure adequate adherence to procurement processes.	



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Service: **CONTINUOUS IMPROVEMENT AND DEMOCRATIC SERVICES**

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
1	Continuous Improvement & Democratic Services	Lack of effective corporate planning – lack of capacity, lack of skills, uncertain direction of travel, organisational resistance to change	Low / High	<ul style="list-style-type: none"> <li>- Poorly planned resource allocation</li> <li>- HBC not responsive to emerging issues</li> </ul>	- Directors	<ul style="list-style-type: none"> <li>- Directors lead work at Strategic Oversight and Planning Board - setting Strategic Direction and developing Operational Blueprint for future of HBC.</li> <li>- PIER programme to identify resources at time priorities are agreed</li> <li>- Staff involvement and engagement processes</li> <li>- Service review programme examining services in detail and assessing customer focus and efficiency (Business process mapping completion and review)</li> </ul>	-
2	Continuous Improvement & Democratic Services	Statutory publication dates for agendas and forward plan missed, resulting in meetings having to be cancelled and a delay to key decisions.	Low / High	<ul style="list-style-type: none"> <li>- Legal – Decisions made are open to challenge.</li> <li>- Reputational High risk of negative media and public profile.</li> <li>- Financial – costs of</li> </ul>	- Continuous Improvement & Democratic Services Manager	<ul style="list-style-type: none"> <li>- Forward Plan management via ModGov ensures that responsibility is shared with service departments.</li> <li>- Modern Gov system automated process for assisting with report publication rolled out.</li> </ul>	Legal provision is in place to obtain permission to accept late items if exceptional circumstances but only if certain conditions have been met

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
				legal challenges.			
3	Continuous Improvement & Democratic Services	Freedom of Information Act <ul style="list-style-type: none"> <li>- response targets not met</li> <li>- impact on staff time/capacity to respond</li> </ul>	Low/Medium	<ul style="list-style-type: none"> <li>- Complaint to Information Commissioner</li> <li>- Opportunity cost impact on service delivery</li> </ul>	<ul style="list-style-type: none"> <li>- Continuous Improvement &amp; Democratic Services Manager</li> </ul>	<ul style="list-style-type: none"> <li>- Firmstep software used to co-ordinate FOI responses</li> <li>- Common requests available online to reduce avoidable contact.</li> <li>- Regular reviews of breadth of information made available to identify if there are further areas that can reduce FOI request</li> <li>-</li> </ul>	Internal escalation process
4	Continuous Improvement & Democratic Services	Corporate complaints timescales not met	Low/High	<ul style="list-style-type: none"> <li>- Reputational impact/potential legal action/lack of confidence</li> <li>- Finding against HBC from Local Government Ombudsman</li> </ul>	<ul style="list-style-type: none"> <li>- Continuous Improvement &amp; Democratic Services Manager</li> <li>Chief Legal Officer</li> </ul>	<ul style="list-style-type: none"> <li>- Revised corporate complaints monitoring system to be implemented via Firmstep enabling more efficient evidence collection, coordination and dissemination of associated tasks and capacity for analysis and online service provision.</li> <li>- CMG regularly review learning from complaints/trends.</li> </ul>	Internal escalation process

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Service: **LEGAL AND ELECTORAL SERVICES**

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
1	Legal Service	Litigation either criminal or civil Large Claims brought against the Council	Low / * High  (* Depends on level of court)	- Reputational  - Financial – Vulnerability to council including costs orders against the Council  - Not being in a position to defend actions brought against the Council.	- Chief Legal Officer   Directors	- Legal compliance – professionally trained staff subject to CPD, training, library and on-line research tools - Capacity built within the team for cover for short term absences - Training for client departments	- Use of trusted agency staff that legal services have used previously
2	Legal Service	Corporate Governance non – compliance with Constitution, procedures, financial rules and standing orders, ultra vires, legal challenge standards issues for	Medium / High	- Failure to deliver on Priorities (reputational and financial)  - Financial – legal challenge and associated costs	- Chief Legal Officer	- Professional legal advice time/capacity built into project development and forward planning processes - New Iken system in place to coordinate and allocate legal work - Training, advice and support for staff and members - Legal advice available to Member decision-making meetings - Regular monitoring and review of constitution.	Training to officer client departments

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
		members					
3	Legal Service	<p>Property, Planning &amp; Contracts: instructions</p> <ul style="list-style-type: none"> <li>- lack of full, precise and timely instructions from client departments</li> </ul> <p>Failure to follow procurement rules</p> <p>Not enough attention paid to specification of contracts</p>	Medium / High	<ul style="list-style-type: none"> <li>- Reputational</li> <li>- Time pressures on funding</li> <li>- Financial – failure to achieve best value for authority</li> <li>- Financial – legal challenge from unsuccessful tenderers</li> <li>- Financial challenge from contractors where we are in breach of contract – cannot comply with specification</li> </ul>	<ul style="list-style-type: none"> <li>- Chief Legal Officer</li> </ul> <p style="text-align: center;">DirectorS</p>	<ul style="list-style-type: none"> <li>- Professionally qualified staff providing advice on what is required</li> <li>- Contribution to training of client officers</li> <li>- Use of Iken system clarifies instructions</li> <li>- Project and Programme Management processes require procurement issues to be addresses in a timely manner</li> <li>- Regular updating training on procurement rules</li> <li>- Work with East Sussex Procurement Hub</li> </ul> <ul style="list-style-type: none"> <li>- Clients need to ensure that they know what they want and are ready to comply with contract</li> </ul>	<p>Advice from East Sussex Procurement Hub</p>
4	Legal Service	<p>Losing staff at a key time – impacting on resilience</p>	Medium / High	<ul style="list-style-type: none"> <li>- Financial – cost of outsourcing or locum assistance</li> <li>- Reputational – Risk of failure to deliver</li> <li>- Undue pressures on Service</li> </ul>	<ul style="list-style-type: none"> <li>- Chief Legal Officer</li> </ul>	<ul style="list-style-type: none"> <li>- High profile matters – identified for outsourcing at an early stage of instruction.</li> <li>- Resilience built within the team</li> <li>- Administration resilience across teams</li> </ul> <ul style="list-style-type: none"> <li>- May have to pay more money</li> </ul>	<ul style="list-style-type: none"> <li>- Use of known locum staff</li> </ul>

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				- Difficulty in recruiting staff			
5	Electoral Services	Statutory timetable and requirements not met when compiling and maintaining the Electoral Register	Low / High	<ul style="list-style-type: none"> <li>- Legal – residents disenfranchised and not able to vote leading to a challenge to the election result.</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>	<ul style="list-style-type: none"> <li>- Electoral Registration Officer</li> <li>- Chief Legal Officer</li> </ul>	<ul style="list-style-type: none"> <li>- Professionally qualified and trained staff with regular skills and knowledge updates.</li> <li>- High quality software package in place.</li> <li>- Contracts in place with printers and software suppliers.</li> <li>- Good networks for support and advice</li> </ul>	<ul style="list-style-type: none"> <li>- External professional resources utilised if necessary</li> </ul>
5	Electoral Services	Organisation of Elections - 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</li> </ul>	<ul style="list-style-type: none"> <li>- Electoral Registration Officer</li> <li>- Returning Officer</li> <li>- Chief Legal Officer</li> </ul>	<ul style="list-style-type: none"> <li>- Professionally qualified and trained staff with regular skills and knowledge updates.</li> <li>- Project Plan for each election in place with a Project Group, also an Elections Committee chaired by the Returning Officer.</li> </ul>	<ul style="list-style-type: none"> <li>- External professional resources utilised if necessary</li> </ul>

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		-		the election result. - Financial – costs of legal challenge and re-running elections. - Reputational: mistrust by residents		- East Sussex wide Electoral Services Network available for support and advice and a good working relationship with the Electoral Commission has been established. - Returning Officer and Deputies undertake training. - Greater resilience achieved within wider Corporate Services team	
6	Electoral Services	Losing specialist staff/staff capacity at peak time (e.g. elections, canvass etc.)	Low / High	- Statutory timetable and requirements not met	- Electoral Registration Officer - Chief Legal Officer	- Resilience is provided across Directorate teams to assist with election duties - Project planning and procedure notes production in place	- 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.

Service: **PEOPLE, CUSTOMER AND BUSINESS SUPPORT**

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
1	People Support	Loss of Unit4 HR & Payroll system	Low / High	<ul style="list-style-type: none"> <li>- Over payments</li> <li>- Staff not paid</li> <li>- NI / Tax not paid</li> <li>- surcharged</li> <li>- Services may have to close</li> <li>- Employment tribunal claims</li> <li>- Industrial action</li> </ul>	Executive Manager (EM) People, Customer and Business Support	<ul style="list-style-type: none"> <li>- Business Continuity Plan in place with software supplier</li> <li>- Managers and team trained on payroll process. Manual option as contingency.</li> </ul>	Could run previous month's payroll and adjust the following month when system has been restored.
2	People Support	Lack of effective organisational development and change	Low / 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>- New initiatives / developments undertaken without adequate business case or planning</li> <li>- Unable to manage more with less</li> <li>- Unable to deliver government / local leadership</li> </ul>	EM People, Customer and Business Support	<ul style="list-style-type: none"> <li>- Organisational Blueprint and delivery programme to be developed in 19/20 with associated project workplans developed</li> <li>- Project outcomes will help anticipate resources required for the future and will inform recruitment and retention.</li> <li>- Staff engagement programme ensures regular communication and briefing opportunities.</li> </ul>	-

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				<ul style="list-style-type: none"> <li>agenda</li> <li>- Loss of key staff</li> <li>- Increased sickness</li> <li>- Disengaged staff</li> </ul>			
3	People Support	Loss of key staff within the people and business support service: - Turnover - Redundancy/retirement - Re-structure (failure to take a strategic approach to workforce planning puts key services at risk)	Medium / High	<ul style="list-style-type: none"> <li>- Support for managers / organisation reduced</li> <li>- Processes not followed</li> <li>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>	- EM People, Customer and Business Support	<ul style="list-style-type: none"> <li>- Senior HR working alongside service managers and developing workforce plan to meet future organisational/service needs.</li> <li>- Workforce plan prepared.</li> <li>- HR briefings on HR policies / procedures, employment legislation</li> <li>- Sickness absence – refresher &amp; mental health training for managers – focus on handling short term absences.</li> <li>-Mental health first aiders in place throughout org</li> <li>- Managers Training apprenticeship scheme to be rolled out</li> </ul>	Agency staff
4	People Support	Non-compliance with employment legislation Corporately	Medium / Medium	<ul style="list-style-type: none"> <li>- Increased number of tribunal claims – costs against the</li> </ul>	- EM People, Customer and Business Support	<ul style="list-style-type: none"> <li>- HR briefings (see above)</li> <li>- Ensure policies and procedures adhered to – including timelines</li> <li>- Provide support to managers</li> </ul>	-



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				Council		<ul style="list-style-type: none"> <li>- Inform finance as early as possible</li> <li>- Use experienced HR advisor (qualified)</li> <li>- Early contact with relevant managers</li> </ul>	
5.	People Support	Poor industrial employee relations	Low/High	<ul style="list-style-type: none"> <li>- Impact on service delivery.</li> </ul>	<ul style="list-style-type: none"> <li>- EM People, Customer and Business Support</li> </ul>	<ul style="list-style-type: none"> <li>- Maintain current Employee relations framework which encourages partnership working between management and unions, enabling effective negotiation, consultation and communication.</li> </ul>	Management/ agreed skeleton cover for specific service areas to cover strike action
6	Business Support	Breach of Town Hall or Muriel Matters House Security including potential contentious public meetings – asset or data loss	Low/Low	<ul style="list-style-type: none"> <li>- Legal action/Loss of reputation/ confidence</li> <li>- Potential harm to staff and public</li> <li>- Potential harm to HBC buildings</li> </ul>	<ul style="list-style-type: none"> <li>- EM People, Customer and Business Support</li> </ul>	<ul style="list-style-type: none"> <li>- Perform security reviews to test security arrangements – particularly at the Town Hall, as there are more tenants and members of the public in the building now.</li> <li>- Ensure that relevant teams undertake risk assessments as and when required for events in the buildings etc.</li> <li>- Test &amp; maintain alarms.</li> <li>- Issue instructions on staff ID cards/ staff lanyards (grey)– mandatory</li> <li>- Monitor and maintain ID card and fob systems for staff</li> <li>- Monitor and maintain ID card</li> </ul>	Regular review at Corporate health and safety group of incidents reported. All relevant policies/procedures amended accordingly and disseminated to all staff.

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
		Risk of abusive, aggressive or violent behaviour towards staff	Med/High	<ul style="list-style-type: none"> <li>- Increase in stress levels experienced by staff and related illness absence</li> <li>- Potential legal claims</li> <li>- Physical harm/injury</li> <li>- Financial</li> </ul>		<p>and fob systems for tenants/contractors/councillors and visitors.</p> <ul style="list-style-type: none"> <li>- ensure visitors visibility improved through the use of named/coloured lanyards</li> <li>- staff encouraged to challenge individuals not displaying ID's and accompany them to Business Support to be issued with temporary ID (if appropriate)</li> <li>- Security arrangements enhanced Panic buttons</li> <li>- Manager supervision and support</li> </ul>	
7	Business Support	<p>Equipment breakdown (printers, water coolers etc, lifts, heating)</p> <ul style="list-style-type: none"> <li>- System breakdown (Condeco)</li> </ul>	Low/Low	<ul style="list-style-type: none"> <li>- Unable to use Equipment or software</li> </ul>	<ul style="list-style-type: none"> <li>- EM People, Customer and Business Support</li> </ul>	<ul style="list-style-type: none"> <li>- Effective and efficient call-out arrangements</li> <li>- Business Support team continue to work with our suppliers to ensure when call outs requested they are responded to in a timely manner.</li> <li>- Regular building checks made</li> <li>- Facilities management group</li> </ul>	Use facilities on other floors

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
						meeting held monthly to review issues.	
8	Business Support	Breach of fire and building health and safety regulations at Town Hall or Muriel Matters House and security,	Low/High	- Potential injury to Persons and buildings	- EM People, Customer and Business Support	<ul style="list-style-type: none"> <li>- Health &amp; Safety Audits</li> <li>- Identity cards/lanyards issued to staff with a requirement to be worn.</li> <li>- Building checks undertaken by Business Support in conjunction with Health and Safety adviser.</li> <li>- Regular maintenance of systems.</li> </ul>	-
9	Community Contact Centre	Poor quality service provision at the first point of call resulting in delays, poor advice and/or an increase in customer complaints	Low / Medium	<ul style="list-style-type: none"> <li>- Reputation undermined</li> <li>- Impact on service delivery</li> <li>- Financial Implications</li> <li>- Additional contacts to rectify</li> </ul> <p>advice/information given.</p>	<ul style="list-style-type: none"> <li>- CMG</li> <li>- EM People, Customer and Business Support</li> <li>- Corporate Customer Services Manager</li> </ul>	<ul style="list-style-type: none"> <li>- Good communications with service departments to plan for peaks in service demand</li> <li>- Rolling training programme to refresh knowledge</li> <li>- Service reviews rolling programme to review processes and customer service issues</li> <li>- Customer satisfaction surveys undertaken</li> <li>- Greater use of technology to address issues of unavoidable contact and reduce face to face contact at first point.</li> <li>- 'Queue busting' processes initiated to limit waiting times of some customers</li> <li>- Performance management processes in place</li> <li>-</li> </ul>	- Complaints and compliments procedure

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
10	Community Contact Centre	Risk of serious abusive, aggressive or violent behaviour towards staff	Medium/High	<ul style="list-style-type: none"> <li>- Increase in stress levels experienced by staff and related illness absence</li> <li>- Potential legal claims</li> <li>- Physical harm/injury</li> <li>- Financial Implications</li> </ul>	<ul style="list-style-type: none"> <li>- EM People, Customer and Business Support</li> <li>- Corporate Customer Services Manager</li> </ul>	<ul style="list-style-type: none"> <li>- Regular H&amp;S training and refresher</li> <li>- Security arrangements enhanced</li> <li>- Lone worker training</li> <li>- Conflict training for all staff</li> <li>- Options to interview in secure rooms</li> <li>- Panic buttons</li> <li>- Appropriate use of alert scheme</li> <li>- Manager supervision and support</li> </ul>	-
11	Community Contact Centre	Cash handling and risk of theft by public or staff.	Low/High	<ul style="list-style-type: none"> <li>- Financial Implications</li> </ul>	<ul style="list-style-type: none"> <li>- EM People, Customer and Business Support</li> <li>- Corporate Customer Services Manager</li> <li>-</li> </ul>	<ul style="list-style-type: none"> <li>- Cash theft prevention systems in place</li> <li>- Effective monitoring and auditing</li> <li>- Use of CCTV systems as evidence and protection for staff.</li> </ul>	- Insurance
12	Community Contact Centre	Total systems failure	Low/High	<ul style="list-style-type: none"> <li>- Reputation undermined</li> <li>- Customer dissatisfaction</li> </ul>	<ul style="list-style-type: none"> <li>- EM People, Customer and Business Support</li> <li>- Corporate Customer</li> </ul>	<ul style="list-style-type: none"> <li>- Business Continuity Plan - Linked to IT recovery plan</li> <li>- Manual processes implemented</li> <li>- Phone system alternative – use at Muriel Matters House albeit with reduced capacity.</li> </ul>	- Firmstep software is hosted on industry leading platform with stringent contractual SLA to recover

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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>Risk avoidance</b>	<b>Risk mitigation</b>
					Services Manager		service.

## OPERATIONAL RISK REGISTER

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### Corporate Services and Governance

Service: IT

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
1	IT	Failure of IT equipment	Low / High	- Very serious impact in short term for all services Medium/High	IT Manager	- Alternative and backup services being provided, regular backup off-site of data, 'loop' of resilient private Servers now 'virtualised', second email server and internet feed provided at Town Hall, other risks mitigated through improved recovery times	-

## OPERATIONAL RISK REGISTER

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### Operational Services Directorate

**Service: ENVIRONMENT and PLACE UPDATED VERSION SENT TO MIKE ON 14/12/18 – NO CHANGES EXCEPT FOR CLIFFS – BIENNIAL CHANGED TO BIENNIAL – AND COMMUNITY SAFETY SECTION WHICH JOHN WHITTINGTON HAS UPDATED**

Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Environment and Place Service - General	<p>Loss of corporate IT hardware due to fire, flooding, power outage etc.</p> <p>This applies across the service e.g. Northgate M3 database is an important part of work allocation (when inspections are due, which licences need to be renewed etc). Handhelds are linked to the Parking database (PCNs could not be issued). Waste service is linked to Kierway (Kier Contractor's online database).</p> <p>Council does not have a set of duplicate hardware, alternative power source or contract for emergency power generators.</p>	<p>Short term: Low / Low</p> <p>Medium term: Low / Medium</p>	Loss of access to data Interruption to service delivery	Assistant Director in relation to IT hardware used by his services and their Business Continuity Planning arrangements.	<p>Laptops are now standard issue throughout these services rather than pcs. This gives a greater degree of resilience and flexibility. Therefore, in the event of an incident affecting Muriel Matters House, once IT established new temporary servers etc. we could operate reasonably well from the back up on our various IT systems.</p> <p>Also, have basic Business Continuity Planning arrangements in place.</p>	

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Waste - General	Unable to collect waste or conduct street cleaning due to weather, problem with disposal route, staffing issue.	Low / High	Piles of rubbish on street Health risks Financial impact Reputation undermined	Assistant Director / Service Manager	Weather: Kier'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. Disposal Route Problems: Kier would deliver waste to another approved disposal site. Staffing issues: In the event of staffing problems, Kier would look to employ agency staff and/or staff from other contract areas.	



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### Operational Services Directorate

Service: **HOUSING**

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
1	All 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>	Assistant Director H&BE	<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 (Housing Services Review, Housing Strategy review , homelessness strategy revision, allocations review, revised renewal financial assistance and enforcement 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. Coastal Space initiative, Social Lettings agency, Licencing &amp; Compulsory Purchase Order programme)</li> </ul>	
2	Housing Options	Failure to manage the impact of changes in the law and/or government policy	High / Medium	<ul style="list-style-type: none"> <li>• Increased Service demand</li> <li>• Additional legal duties increase workloads</li> <li>• Legal challenge</li> <li>• Reputation undermined</li> </ul>	Assistant Director H&BE  Options Manager	<ul style="list-style-type: none"> <li>• Maintain/raise corporate awareness through Performance Review/ Scrutiny/Cabinet etc</li> <li>• Regular stakeholder engagement through strategic liaison meetings with main Social Landlords (Optivo) Housing and Support Service meetings &amp; Private Landlord forums.</li> <li>• Engagement with the Department for</li> </ul>	

## OPERATIONAL RISK REGISTER

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
		initiatives (e.g. impact of welfare benefit changes on homelessness levels)		<ul style="list-style-type: none"> <li>Increased expenditure</li> <li>Quality of service</li> <li>Public health &amp; wellbeing</li> </ul>		<p>Works and Pensions and Universal Credit colleagues to raise operational barriers and find solutions.</p> <ul style="list-style-type: none"> <li>New Housing and Homelessness Strategies were introduced, summer 2016</li> <li>Policy reviews of Allocations during 2017/18</li> <li>Impact &amp; risk assessments</li> <li>Improvements in cross team /service cooperation (e.g. Housing /Housing Benefit team action Plan)</li> <li>Annual update of anti-poverty strategy &amp; action plan</li> </ul>	
3	Housing (Renewal)	Failure to meet housing licensing targets	Med/Med	<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>Financial cost</li> </ul>	Assistant Director H&BE  Renewal Manager	<ul style="list-style-type: none"> <li>Delivery Team produced action plan in place to meet targets, encompassing existing and new targeted properties.</li> <li>Mid-term review and impact assessment and review scheduled to re-profile income levels.</li> </ul>	
4	All Housing	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</li> </ul>	Assistant Director H&BE and Planning Services  Renewal Manager	<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 Private Rented Sector accommodation</li> <li>Monitoring and review of statistics</li> </ul>	<ul style="list-style-type: none"> <li>Compliments and Complaints analysis</li> </ul>

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
				<ul style="list-style-type: none"> <li>dissatisfaction</li> <li>Legal challenges</li> <li>Adverse impact on partnership cost</li> </ul>	Options Manager	<ul style="list-style-type: none"> <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>	
5	All 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 Health &amp; Safety Executive against the Council</li> <li>Civil action by employees against the Council</li> </ul>	All Managers  Buildings Manager	<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>	<ul style="list-style-type: none"> <li>Management trail of all actions taken and demonstrating best practice to reduce the effect of litigation</li> </ul>
6	All Housing	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>	All Managers Assistant Director H&BE	<ul style="list-style-type: none"> <li>Housing Services Review undertaken &amp; new implementation plan in place</li> <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>	<ul style="list-style-type: none"> <li>Agency staff</li> </ul>
7	Housing Renewal	Failure to maintain delivery in the	Low /High	<ul style="list-style-type: none"> <li>Targets not met</li> <li>Posts at risk</li> <li>Increased risk of</li> </ul>	Assistant Director H&BE	<ul style="list-style-type: none"> <li>Funding and/or support for other partners such as YMCA, Town team in place.</li> <li>Renewal Area status extended for 5 years.</li> <li>Project team and communication plan in</li> </ul>	

## OPERATIONAL RISK REGISTER

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
		Housing Renewal Area- Coastal Space (based on the original Neighbourhood Renewal)		<ul style="list-style-type: none"> <li>homelessness</li> <li>• Standards and management in the Private Rented Sector 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> <li>• Key priorities and projects not met</li> <li>• Financial burden on the organisation</li> <li>•</li> </ul>	Renewal Manager	<ul style="list-style-type: none"> <li>place</li> <li>• Strategic group oversee project</li> <li>• Proactive Enforcement Programmes operational in the 7 streets</li> <li>• Business continuity planning &amp; risk assessments undertaken</li> <li>• Marketing &amp; Publicity exercises carried out</li> </ul>	
8	Housing Options	Failure to secure affordable housing solutions to prevent rising numbers of	Med/Med	<ul style="list-style-type: none"> <li>• Rise in homeless applications</li> <li>• Increased levels of spending on B&amp;B</li> <li>• Increased levels of rough</li> </ul>	Assistant Director H&BE and Planning Services Housing Needs Manager	<ul style="list-style-type: none"> <li>• Recommendations of the Shelter service review completed and kept under review</li> <li>• Regular stakeholder engagement through strategic liaison meetings with main Social Landlords (Optivo) Housing and Support Service meetings, Private Landlord forums.</li> <li>• Allocations Policy review 2017/18</li> <li>• New Housing and Homelessness</li> </ul>	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
		homeless households.		sleeping and associated ASB <ul style="list-style-type: none"> <li>• Legal challenges</li> <li>• Reputation undermined</li> </ul>		Strategies were introduced, summer 2016 <ul style="list-style-type: none"> <li>• The Housing and Wellbeing Hub reviewed quarterly with Clinical Commissioning Group and associated partners.</li> </ul>	
9	Housing Options	The Social Lettings Agency unable to offer Landlords a new tenancy management service to replace the Private Sector Leasing (PSL) scheme	Med/Med	<ul style="list-style-type: none"> <li>• Increased risk of homelessness</li> <li>• Impact on regeneration objectives and deprivation increases</li> <li>• Key Corporate priority not met</li> <li>• Standards and management in the Private Rented Sector do not improve</li> </ul>	Assistant Director H&BE and Planning Services Housing Needs Manager	<ul style="list-style-type: none"> <li>• Research &amp; Financial feasibility study carried out</li> <li>• End of year review submitted to Cabinet in July 2017 outlining the need for a scheme to replace the existing PSL scheme. Additional resources identified to explore viability of a tenancy management service to replace the PSL scheme and present a business case to submit for Cabinet. Cross-departmental working group to be formed to support a business case to Cabinet for a replacement tenancy management scheme</li> <li>• Risk assessment carried out and reported to Cabinet and CMG.</li> </ul>	
10	Housing Options	Failure to meet commitment to resettle	Med/Low	<ul style="list-style-type: none"> <li>• Publicly stated commitment not met</li> <li>• The needs of vulnerable</li> </ul>	Assistant Director H&BE and Planning Services Housing Needs	<ul style="list-style-type: none"> <li>• East Sussex D&amp;Bs to continue funding dedicated SRP coordinator for East Sussex</li> <li>• Consult and work in partnership with the South East Strategic Partnership for</li> </ul>	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
		100 vulnerable Syrians by 2020 as part of the Syrian Resettlement Programme (SRP).		people are not met	Manager	Migration <ul style="list-style-type: none"> <li>• Project Plan and risk register to be kept under review</li> <li>• Project Plan oversight from the East Sussex Housing Officer Group (ESHOG)</li> <li>• ESHOG led review of operations to be undertaken during Q4 2016/17</li> </ul>	
11	Housing Renewal	Delivery of European Funded Projects – Climate Active Neighbourhoods and Sustainable Housing in Inclusive neighbourhoods.	Med/Low	<ul style="list-style-type: none"> <li>• Change in Euro exchange rate will effect need to match fund</li> <li>• Publically stated commitment to project not met</li> <li>• Impact on regeneration objectives and deprivation increases</li> </ul>	Assistant Director H&BE  Renewal Manager	<ul style="list-style-type: none"> <li>• Regular Steering Group Meetings</li> <li>• Project specific risk register maintained</li> <li>• Euro exchange rate monitored</li> <li>• Funding profile adjusted following every claim</li> </ul>	
12	Housing Options	Council Budgets put at risk due to failure to	High/Med	<ul style="list-style-type: none"> <li>• Reduced income from B&amp;B placements</li> <li>• Increased use</li> </ul>	Assistant Director H&BE and Planning Services Housing Needs	<ul style="list-style-type: none"> <li>• Maintain/raise corporate awareness through Performance Review/Scrutiny/Cabinet etc.</li> <li>• Member/Snr Officer support to lobby Government of the impact of the Universal</li> </ul>	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
		secure payments for Bed & Breakfast (B&B) placements and SLA tenancies as a result of the introduction of Universal Credit to Hastings in December 2016		of resources and officer time	Manager	Credit changes on Local Authority TA Budgets <ul style="list-style-type: none"> <li>• Regular engagement with Housing Benefit and stakeholder partners to understand ongoing changes to Universal Credit</li> <li>• Weekly meetings with applicants in B&amp;B to check the status of Universal Credit applications online</li> <li>• Regular contact with other Universal Credit pilot areas to share knowledge and best practice</li> <li>• Internal HBC Operational Working Group created to oversee the impact of welfare reform on Council services: meeting twice monthly during 2016/17 &amp; 2017/18</li> <li>• Housing Needs Manager, AD and Chief Finance Officer to form group in summer 2017 to review current challenges and barriers to maximising Universal Credit income from B&amp;B and SLA</li> </ul>	
13	Housing Options	The introduction of the Homelessness Reduction Bill as an Act (HRA) creates additional statutory duties for LAs, the	Med/High	<ul style="list-style-type: none"> <li>• Workloads increase significantly and ability to prevent homelessness is reduced</li> <li>• Reduced staff morale and increased workloads and levels of stress/sickness</li> </ul>	Assistant Director H&BE and Planning Services Housing Needs Manager	<ul style="list-style-type: none"> <li>• Additional resources secured via the Flexible Homelessness Support Grant (limited to 2017/18 &amp; 2018/19) to help meet potential increased demand and workload from introduction of HRA</li> <li>• Await Govt. announcement on 'New Burdens Funding' help meet the cost of introducing the HRA for 2017/18 &amp; 2018/19 before April 2018.</li> <li>• Continue to work with East Sussex D&amp;Bs to explore using external specialist advice to assist in designing new operational policies and procedures to meet HRA</li> </ul>	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
		implementation of which may not be adequately funded by Government		<ul style="list-style-type: none"> <li>Rise in homeless applications</li> <li>Increased levels of spending on B&amp;B</li> <li>Increased levels of rough sleeping and associated ASB</li> <li>Legal challenges</li> <li>Reputation undermined</li> </ul>		<p>duties</p> <ul style="list-style-type: none"> <li>Continue to work with Department for Communities and Local Government and the National Practitioner Service (NPS) to design service delivery which ensures we are HRA compliant</li> <li>Maintain/raise corporate awareness through Performance Review/Scrutiny/Cabinet etc.</li> <li>Internal working group formed with operational team leaders, the Transformation team and current software providers to monitor the impact of the Act and assess the detail of the changes and the impact of it on the service</li> <li>Attend East Sussex Housing Officers Group (ESHOG) sub-group meeting to understand implications of the Act and develop a coordinated approach to managing its impact on services</li> <li>Monitor staff morale through 121s and consultation with POD</li> </ul>	
14	Housing Options	Delivery of the Clinical Commissioning Group (CCG) funded Housing and Wellbeing	Med/Low	<ul style="list-style-type: none"> <li>Publically stated commitment to project not met</li> <li>Rough sleeping and associated street activities increases</li> <li>Failure to improve the health</li> </ul>	Assistant Director H&BE and Planning Services Housing Needs Manager	<ul style="list-style-type: none"> <li>Regular Project Board meetings with operational Hub members and the CCG</li> <li>Quarterly returns and reports produced for CCG Board</li> <li>Project risk register maintained</li> </ul>	



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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
		Hub Project		outcomes and housing outcomes for rough sleepers and the street community			
15	Housing Options	Delivery as lead partner of Sussex-wide Rough Sleeper Prevention Project, funded by the MHCLG.	Low/Med	<ul style="list-style-type: none"> <li>• Publically stated commitment to project not met</li> <li>• Failure to meet project outputs against payments from the MHCLG</li> </ul>	ESHOG Assistant Director H&BE and Planning Services Housing Needs Manager	<ul style="list-style-type: none"> <li>• Project Core Group to meet monthly and monitor project outputs against target</li> <li>• Project Core Group to keep MHCLG updated of project progress including project risks</li> <li>• Work with Legal and Finance colleagues to produce an MoFU between partners to ensure payments made by HBC to partners are done so against outputs being achieved</li> <li>• Budget review meetings with Finance colleagues</li> </ul>	

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### Operational Services Directorate

Service: **PLANNING AND DEVELOPMENT**

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
1	Development Management	Error in making a Planning Decision	Medium/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, and the Development Manager. 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. A review of the service identified a shortfall in planning staff. Positions have been created to address this shortfall.</p>	
2	Development Management	Lose Planning Appeal decision	Low/Medium	- Reputation undermined	Section Manager	This is reliant on experienced and qualified staff that remain up to date with current guidance and	Thorough 'post mortem' taken on all lost appeal decisions and learning actions then implemented.

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
				- If costs awarded maybe financial implications		<p>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. The quality of decisions to some extent rests on the capacity of each planning officer to spend the right amount of time on each application in order to strengthen arguments and write well justified reports. Positions have been created to address this shortfall.</p>	
3	Conservation	<p>Error in managing &amp; processing Conservation Grant schemes</p> <p>Merging of grant officer</p>	Low/Medium	<p>- Financial implications</p> <p>- Reputation undermined</p> <p>- Delay in providing decisions within timeframe. Refund of application fees</p>	Principal Planning Officer	It is suggested in respect of the Development Management side of the role that the money arising from increased planning application fees, ring fenced to planning (DM) could be spent on an additional part time	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
		<p>and conservation officer roles. Conservation officer role is 2.25 days a week. This is not sufficient to be able to make timely comments in respect of applications or to allow time to assist with council projects.</p>		<p>This will and has led to complaints and affects the speed with which decisions are made. Time delays in decisions could ultimately affect our ability to meet council targets and at worst could mean designation</p>		<p>conservation officer. This would address concerns in respect of delays/ complaints/designation.</p> <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 dependent 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>	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
						The Townscape Heritage Initiative for Central St Leonards funded mainly by Heritage Lottery and the Council will be externally audited by Heritage Lottery at the end of scheme.	
4	Development Management and Local Land Charges	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 Manger	There is a corporate procedure to record incoming payments. This procedure has been regularly audited.	
5	Development Management	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 and uploaded onto the web site. Both should provide access to accurate information. 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 Management team to	Analysis of compliments and complaints received

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
						<p>provide support and guidance. The Development Management staff create a log of calls referred from the Contact Centre which is used by the Contact Centre Manager in weekly training sessions.</p> <p>Training for contact centre staff to take place in October 2016, further training took place in April 2017 and Nov 2017.</p> <p>Finally, the triage allows a much easier way for the contact centre to manage incoming calls without reference to the planning officers. It will also enable the contact centre to ask the correct questions and obtain the correct information</p>	
6	Development Management, Local Land Charges and Planning Policy	Lack of staffing / financial resilience	Medium/Medium	<ul style="list-style-type: none"> <li>- Inability to do the work</li> <li>- Unacceptable deficit</li> <li>Increased likelihood of errors leading to</li> </ul>	Assistant Director H&BE and Section Managers	<p>Procedures have been reviewed to ensure maximum efficiency.</p> <p>Development Management – planning officers:</p>	

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				<p>Judicial reviews/complaints/lost appeals and cost to authority Possible designation if speed of decisions is below government targets.</p> <p>Loss of Income to Local Land Charges</p>		<p>Workloads to be monitored and reviewed In the event of significant under capacity.</p> <p>Review of planning service (04/2016) identified that the service is two staff short of what it should be. Positions have been created to address this shortfall however staff appointed have no relevant experience or training in planning. Furthermore, staff vacancies and absences continue to increase the likelihood of errors</p> <p>Local Land Charges:</p> <p>Cross trained staff across DM Admin team provides resilience to the Local Land Charges and planning application processes but this does put pressure on all admin staff. Search turn around times monitored to ensure that we do not exceed 10 working days as exceeding this would mean that we would not be competitive with the private</p>	

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						sector search companies and may lose business to them as a result.	
7	Development management and Local Land Charges	Loss of data / information	Low / High	<p>- Impact on service delivery</p> <p>- Financial implications</p> <p>In some cases, it has become clear that important plans and elevations have been removed from paper copies of applications.</p> <p>This had resulted in additional money paid to consultants/barristers to establish legal positions arising from this.</p>	IT service and Section Managers	<p>Electronic data is backed up. 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 Muriel Matters House. It is possible to recreate some of these records from the original sources if the current set were lost, although this would be extremely time consuming.</p> <p>All significant planning material received from 2003 is held electronically</p>	



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						<p>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> <p>There is a need to ensure that staff are present when planning archive folders are viewed. At present admin officers are required to remain with visitors when viewing paper applications to overcome this issue.</p> <p>Because all objections are published online, if an objection is not received, or is incorrectly logged it is evident to the objector and they are able to draw the problem to our attention to correct it.</p>	
8	Development Management, Local Land Charges and	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> </ul>	Section Managers and staff	Corporate health and safety procedures are in place and are followed. Relevant training of staff is	

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	Planning Policy			<ul style="list-style-type: none"> <li>- Impact on service delivery</li> <li>- Reputation undermined</li> </ul>		<p>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>	
9	Development Management and Local Land Charges	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>	Assistant Director H&BE	Close monitoring of performance is undertaken by the section managers and 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.	
11	Building Control delivered by the Wealden	Failure to deliver service	Low/High	<ul style="list-style-type: none"> <li>- Impact on service delivery</li> <li>- Financial implications</li> </ul>	Assistant Director H&BE	Under the Partnership between Wealden DC and HBC to deliver the Building Control Service there is a	Bring service back in-house or use contract specialists

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
	and Hastings Building Control Service			- Health and safety impact – unsafe buildings		contract which defines the procedures to change arrangements if required. The service performance will be monitored through agreed Performance Indicators contained in the Contract	
12	Local Land Charges	Possibility of parts or all of the service being transferred to Land Registry	Med/High	<ul style="list-style-type: none"> <li>- Financial Implications</li> <li>- Staffing Implications</li> </ul>	Section Manager	<p>Monitor developments</p> <p>The transfer of the Local Land Charges Register function to Land Registry was given Royal Assent on 12<sup>th</sup> February 2015. Secondary legislation consultation was conducted in spring 2016 with implementation 2017. It is likely that nationally this may take until 2022 before the exercise is complete.</p> <p>It is still very unclear how this will work and what financial and resourcing impacts that this will have on the service however it appears that HBC will still be required to make the registrations into a national portal, but LLC1 payments would be made to Land</p>	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
						Registry. The LGA along with Land Registry are currently looking at the New Burden issue surrounding this.	
13	Planning Services	Failure to maintain CPO Programme for Empty Homes	Low/High	<ul style="list-style-type: none"> <li>• Targets not met</li> <li>• Staff 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>	Assistant Director H&BE and Section manager	<ul style="list-style-type: none"> <li>• A revised job description has been drafted and agreed within which key stages are required to be met such as an annual empty homes report drafted ready for March cabinet.</li> <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> <li>• revised Empty Homes Strategy</li> </ul>	

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### Regeneration and Culture

**Note:** Shaded in blue = also listed on Corporate Risk Register

Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position	Risk avoidance
Marketing & Major Projects	Major project fails	Low / High	Impact upon town's regeneration; potential financial risk	Marketing & Major Projects Manager	Robust project management, including community/stakeholder/investor engagement, and controls in place to identify/mitigate foreseeable risks	Expand project management team/buy in additional resources
Marketing & Major Projects	Fish Fairs unsuccessful	Medium/Medium	- Reputation undermined - Financial implications	Marketing & Major Projects Manager	- Regular officer and stakeholder meetings held - Risk assessments undertaken in conjunction with professional colleagues and emergency services Debrief/review after every event, with action taken as necessary	Increase level of investment in marketing and management
Marketing & Major projects; Communications (Corporate Services)	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	Marketing & Major Projects Manager; Communications Manager	- 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	Not possible to avoid this risk
Seafront Concrete Structures (Resort Services)	Extensive deterioration or collapse.	Low / High	Financial impact. Danger to public safety. Loss of amenity. Reputation undermined.	Resort Manager	Annual concrete inspections in place with programme of minor repairs. Explore options for longer term refurbishment and investment.	Increased investment in repairs programme.
Bathing Water Quality (Resort)	Bathing water fails to meet new EU standards	Med / High	Loss of tourism income Reputational damage	Asst Director E&P / Resort Manager	Project continuing with EA and Southern Water focusing on:	Continue working with partners to

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position	Risk avoidance
Services)	Ownership and responsibility of Outfall Pipe		Extensive operational coordination required.		Missed connections, sewer system faults, de-silting ponds, natural stream filtration and community engagement (HVA). Feasibility study will assess longer term protective options including long-sea outfall. Legal Services researching outfall pipe ownership issues.	address known problems. Capping/re-siting/lengthening of outfall pipe (Major investment)
White Rock Theatre (Culture)	Infrastructure failure of equipment (e.g. sound system, boilers etc.). Audience numbers not maintained.	Med / Med	Reputation undermined. HBC investment questioned. Financial impact.	Assistant Director Regen & Culture / Lead Member	Monthly review of activities, results and plans. Close liaison with theatre manager. Changed focus of the quarterly report to also include activities for the next quarter. Audience numbers rising, particularly participation figures. Agreed annual maintenance plan, which is monitored on an ongoing basis and reviewed at quarterly meetings with operator. Sound system has been replaced. Boilers currently under investigation and may need replacement.	Replacement of old equipment Manage HQ to the lease with regards to building maintenance.
Cliff Railways (Resort Services)	Mechanical failure.	Low / Med	Financial impact. Danger to public safety. Loss of amenity. Reputation undermined.	Resort Manager	Programme of inspections, testing and maintenance. Staff training and awareness. Local maintenance contract awarded	Increase inspection programme and remedial actions.
Hastings Museum and Art Gallery (Culture)	Loss of exhibits and damage to buildings due to theft, damage through fire, vandalism, alarm failure, staff failure.	Low / High	Financial loss. Loss of service (closure). Cultural loss. Reputation undermined.	Museum & Cultural Development Manager	Secure funding to improve security at the building Alarm contracts maintained. Staff trained. Procedures manual updated. Disaster Plan in place. Fire Risk Assessments completed	Upgrade building security and fire detection/prevention. Increase in staff capacity to

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position	Risk avoidance
						prevent vandalism/theft
Flood Risk Management & Coastal Protection(Resort Services)	Impact of severe weather. Failure of defences. Loss of Government Funding.	Med / High	Loss of life Loss of amenity Financial impact	Resort 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. Funding for MTP secured Hastings Multi Agency Flood Plan Implemented Externally funded (c£3m) flood defence scheme completed, strengthening the harbour arm and seafront defences	See mitigation - No other effective avoidance measures identified
Cliffs (Building Surveyors and Resort Services)	Risk of landslide, landslip, rock falls and other natural hazards on both coastal cliffs and those inland.	Low / High	Loss of life / serious injury Damage to property Loss of access / amenity Financial impact Reputation undermined	Assistant Director E&P / Resort Manager	Maintain existing controls in place (catch fences, signage, barriers) Reporting system in place with other relevant stakeholders	Bi annual inspection programme and remedial action
Leisure Services externally funded projects	Reduction of external funding.	High / high	Reduction or loss of services. Reduction or loss of externally funded posts. Failure to meet Physical	Leisure Development Manager / Leisure Team	We continue to submit external funding applications in order to sustain a range of leisure projects.	No effective avoidance measures identified

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position	Risk avoidance
	<p>Failure to deliver as per external funding contractual agreements.</p> <p>Failure in duty of care to participants &amp; staff.</p>	<p>Low / High</p> <p>Low / High</p>	<p>Activity Strategy targets and public expectations.</p> <p>Claw back of external funding. Reputation undermined. Legal action. Overspend.</p> <p>Impact on safety of individuals. Legal action. Reputation undermined.</p>	<p>Leisure Development Manager / Leisure Team</p> <p>Leisure Development Manager / Leisure Team</p>	<p>Regular monitoring and evaluation of projects to ensure performance. Regular reports to principal funding partners as per funding agreements. Regular liaison with funders. Regular budget reviews inform spending.</p> <p>Risk assessments and procedures are systematically reviewed. Training in place.</p>	<p>Regular monitoring and evaluation of contractual delivery.</p> <p>Increase rigour of risk assessments and ongoing monitoring</p>
Leisure Management Contract with Freedom Leisure	Contract specification not fulfilled.	Low/Med	Reduction in quality of service. Potential impact of safety of participants/staff. Reputation undermined	Leisure Development Manager	Regular monitoring meetings, inspections and reports. Remedial actions, when necessary, agreed and followed up.	Increase monitoring activity
Adventure Playground - Future (Leisure Services)	Failure to operate the Adventure Playground as per contractual requirements.	Low / Med	Loss or reduction of service. Failure to meet Play Strategy targets. Failure to meet public expectations. Reputation undermined. Injuries and accidents to staff and public	Leisure Development Manager / Play Development Officer in partnership with In2Play.	Regular monitoring meetings with In2Play, includes a focus on the overall funding plan. Funding is in place for 2017-18.  Revised lease still to be agreed	Increase monitoring activity
Duty of care to the Public (All Services)	Failures of child protection. Negligence in	Med / Med	Injury Claims Financial impact	Assistant Director / Service Managers	All staff who have unsupervised access to children and vulnerable adults have advanced DBS checks in place.	Risk assessments & periodic system



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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position	Risk avoidance
	maintaining assets. Out of date policies. Failure to ensure fully trained and competent staff.		Reputation undermined		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.	of inspection in place for all park sites and buildings, and activities.
Regeneration and Culture	Loss of EU funding programmes HBC is currently developing or pre signature due to BREXIT  Loss of EU transnational programmes due to BREXIT and EU programmes no longer requiring UK partner	Low/Medium	Any programme in development/prior to signature with HBC as a partner (FLAG, CHART, DESTI- SMART all signed.)	Assistant Director Regen & Culture / External Funding Manager / Economic Development Manager	Ongoing market intelligence gathering on managing authority advice regarding programmes. Development of a national Funding pipeline, aligning key priority areas to funding which is secure. Await news and consultation on the Shared Prosperity Fund  13 <sup>th</sup> AUGUST 2016 TREASURY STATEMENT All programmes which are signed prior to autumn statement will be guaranteed by UK government for programme life.  16/5/2017 Update from MMO re EMFF All projects need to be committed by March 2019, and completed by Summer	Lobby for UK govt funding to replace EU funding post Brexit.  Respond to SPF consultation when open

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position	Risk avoidance
					<p>2020</p> <p>Update on December 2017 UK/EU agreement confirms UK will remain in and have full access to all EU programmes up to 2020 (so can still apply in theory up to that date)</p> <p>Update April 2018 ESF CHART agreement signed</p> <p>Update June 2018 ERDF CHART agreement signed</p> <p>Update July 2018 DESTI-SMART agreement signed</p>	
Regeneration and Culture	Insufficient match funding for EU funded projects SHINE ,CAN, CHART, (FLAG –partner match), DESTI-SMART & UPSTRAW	Low / Medium	Risk of inability to deliver agreed EU projects if the match from HBC is no longer available (staff match and cash match). Potential underspend on FLAG & CHART projects if partner match short.	Regeneration Manager (jointly with lead service areas)	Ongoing monitoring of cross-council activity and regular updates to CMG / CAP and Cabinet. Alternative match identified if/when a commitment is undeliverable. FLAG & CHART to utilise Local Action Group network for suitably matched projects.	Redeploy staff from other activity to deliver/augment project teams
Regeneration and Culture	Lack of investment in local business and/or relocation of businesses out of UK because of BREXIT	Medium/High	Loss of jobs Closure of key businesses	Economic Development Manager	<p>Hopeful that markets will settle and Bank of England supports the economy for businesses.</p> <p>June18 – market still in flux due to government and market uncertainty with regard to BREXIT.</p> <p>Risk of no deal Brexit being explored and</p>	Grants/Loans to stimulate business investment/retention

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					identified, through corporate risk register Now CORPORATE risk.	
Regeneration and Culture	Downturn in EU visitor trips	Medium/Medium	Reduced tourism spend Tourism business closures	Marketing and Major Projects Manager	KB reviewing visitor economy and will explore need for communication regarding visitor market once article 50 is evoked.	Increase marketing activity – EU and beyond
Regeneration and Culture	Stretched/ insufficient staff capacity	High / Medium	Failure to deliver corporate / contractual targets / unsound operational decision making / reputational and/or financial cost/loss	Assistant Director Regen & Culture	Insufficient capacity within current staffing levels to effectively deliver all activities, including some externally funded programmes and associated increase in levels of stress. Mitigation measures: Secure external contractors as required to cover workload peaks, curtail/reduce activities of lesser priority. External consultants contracted to deliver work related to projects Use of external contractors will continue to be necessary.	Increase staff resource via external funding.  Realign staff resource to priority projects such as Bohemia and Income Generation.
Cultural Programme	Failure to raise additional funds for 2018/19 programme.	Medium/High	Reduced impact, reputational damage	Museum & Cultural Development Manager	Council's financial commitment will continue to be used as leverage in external funding bids.. Provision of officer support for events/cultural activity organised by other bodies/groups The Coasters Network, funded through Arts Council England Strategic Touring Fund runs until 2018 and will be augmenting programming budgets for Stade Saturdays and the St Leonards Festival.	Cultural programme will be tailored to fit within available budget. No other effective avoidance measures identified
Cultural Programme	Failure to build strong local support for cultural	Low/Medium	Reputational damage Reduced impact of cultural	Museum & Cultural	Cultural Leaders Steering Group now well established and supportive of strategic	Step up Cultural Leaders Steering

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	regeneration plans		regen ambitions	Development Manager	approach to cultural regeneration. Maintenance of relationships with Arts Council and other influential organisations at a regional and national level. The new Music City focus has wide support from the cultural sector who has taken the lead on moving things forward.	Group activity. Increase staff capacity to engage with funders and local cultural organisations/community
Cultural Programme	Failure to engage effectively with marketing/comms and the wider tourism sector.	Low/Medium	Reduction in the long term impact and sustainability of the investment and development of the creative and cultural sector.	Museum & Cultural Development Manager	Regular communication between Cultural Regen and Marketing teams.	See mitigation. No other effective avoidance measures identified
External Funding activity	Over-commitment of Council resources on external funding opportunities	Medium/High	Reputational damage Financial costs	Assistant Director Regen & Culture	Ongoing monitoring of cross-council activity and regular updates to CMG. CMG encouraged to review externally funded activity and commitments of staff/budget resources. Establishing priority areas of work to focus resources on. Drafting of External Funding Protocol to implement for 19/20.	Withdraw from funding programmes. CMG to monitor EF activity and allocate resources accordingly

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position	Risk avoidance
Production of the Town Centre & White Rock Area Action Plan and other Local Plan related documents	Work demands that are not programmed e.g. Neighbourhood Plans	High/High	Delay Possible financial cost	Assistant Director Regen & Culture	Review programmes for priority policy documents	Increase staff capacity
	Changes to Planning Policy and Guidance	Medium/High	Delay		Reassess priorities through review of LDS	No effective avoidance measures identified re govt policy changes – out of HBC's control
	Staff shortages e.g. unable to recruit, long term sick leave etc.	Medium/High	Delay Financial cost		Subject to timing of absence, purchase expertise on short term basis via consultancy	
	Requisite expertise or capacity not available in-house	Medium/Medium	Financial cost Delay		Staff training/CPD Purchase expertise on short term basis Sharing expertise with other LPAs Secure administrative assistance Review programme and priorities	Review work priorities alongside Local Plan Review
	Longer process times, especially due to high level of responses	Medium/Low				
Coastal Communities Fund 4	Delivery of the programme within the budget and timeframe work agreed with MHCLG	Medium / High	Delay Financial cost Reputation	Regeneration Manager	Monitoring arrangements, and employment of dedicated staff.  All projects on target to meet outputs, spend grant funding and complete by final programme deadline of December 2019	Working closely with partners and input of appropriate levels of resources to deliver projects.
Connecting Hastings and Rother Together (CHART) (see project specific risk)	Delivery of the programme within the budget and timeframe work agreed with MHCLG	Medium / High	Delay Financial cost Reputation	Economic Development Manager	Monitoring arrangements, and employment of dedicated staff.  PD to update if needed	Working closely with partners and HBC cross council officers to ensure appropriate levels

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register)						of resources and identification of match to deliver programme
Hastings Fisheries Local Action Group	Delivery of the programme within the budget and timeframe work agreed with MMO	Medium / High	Delay Financial cost Reputation	Economic Development Manager/External Funding Manager	Monitoring arrangements, and employment of dedicated staff to manage programme. Tracking of costs committed status report to Board alongside pipework of development projects.  Currently projects in pipeline will allocate underspend. Projects need to be approved by March 2019.	Working closely with external partners and HBC cross council officers to ensure appropriate levels of resources and identification of project match to deliver programme
Redesign and relaunch of 1066 Country Website	Website redesign does not meet requirements  Continuing staffing resource not in place to maintain content	Low/high	Delay Reputation Financial cost	Marketing & major projects manager	Contract management of appointed web design company  Continue employment of staff resource to maintain content  Currently mid-redesign, launch due in Spring	Working closely with officers from Rother and appointed contractor to ensure design requirements are met