

OPERATIONAL RISK REGISTER

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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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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
4	Finance	Uninsured properties / risks	Medium / Medium	<ul style="list-style-type: none"> - Properties not insured - Loss of money in the event of loss 	<ul style="list-style-type: none"> - Assistant Director – Financial Services & Revenues 	<ul style="list-style-type: none"> - Ensure thorough renewals process each year - Make sure we liaise with Estates to ensure all properties are adequately insured - Training and carry out inspections 	Insurance reserve for uninsured losses
5	Finance	Income stream	Medium / High	<ul style="list-style-type: none"> - Budget deficit 	<ul style="list-style-type: none"> - Assistant Director – Financial Services & Revenues - Chief Accountant 	<ul style="list-style-type: none"> - Ensure regular budget monitoring reports distributed followed up by meetings - Report variances to AD's and service managers so they can address any budget deficits within their service - Report variances quarterly through performance review -Active management of properties and services 	Adequate provisions
6	Finance	Business Continuity	Medium / High	<ul style="list-style-type: none"> - Payments, benefits, creditors & Treasury Management 	<ul style="list-style-type: none"> - Assistant Director – Financial Services & Revenues - Chief Accountant 	<ul style="list-style-type: none"> - Ensure finance system meets changing needs of business - Ensure full staff complement or cover - Business Continuity Plan in place 	<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"> - Stress - Errors / omissions - Financial loss - Poor advice 	<ul style="list-style-type: none"> - Chief Accountant - Assistant Director – Financial 	<ul style="list-style-type: none"> - Procedures documented - Ensure knowledge is shared and resilience built in - Terms and Conditions 	<p>Use agency staff</p> <p>Use specialist agencies to temporarily fill senior staff positions</p>

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
					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"> - Loss of knowledge and relationship with tenants - Tenants dissatisfied and leave 	<ul style="list-style-type: none"> - Assistant Director – Finance and Revenues 	<ul style="list-style-type: none"> - Maintain adequate staffing levels - - Ensure knowledge shared within Team - Terms and Conditions 	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"> - Loss of rental income - Units handed back and difficult to re-let - Increased costs (rates) 	<ul style="list-style-type: none"> - Estates Manager 	<ul style="list-style-type: none"> - Effective advertising - Maintain tenant relationships and get early warning - Maintain an overview of individual businesses and their operating environment - Undertake due diligence prior to purchasing new properties 	Maintain satisfactory level of general reserves
3	Estates	Failure to maintain assets	Low/High	<ul style="list-style-type: none"> - Properties fall into disrepair 	<ul style="list-style-type: none"> - Estates Manager 	<ul style="list-style-type: none"> - Regular inspections - Adequate budget (R&R) - Planned programme of repairs and inspections 	Contingency plan to board up and make safe vacant buildings
4	Estates	Properties not adequately insured	Low/Medium	<ul style="list-style-type: none"> - Council has to reinstate from own money 	<ul style="list-style-type: none"> - Estates Manager - Assistant Director – Finance and 	<ul style="list-style-type: none"> - Complete revaluation of Council property and ensure regular checks on tenanted property 	Insurance reserve

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
					Revenues		
5	Estates	Environmental legislation introduced which we do not currently comply with.	Medium/Low	<ul style="list-style-type: none"> - Units with an energy rating of F or G can't be let 2018 - Cost as business rates could be linked to energy performance of buildings 	- Estates Manager	- Assess energy performance of our buildings and improve where necessary	

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Service: **REVENUES AND BENEFITS**

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
1	Revenues & Benefits	Not implementing changes to benefit rules & regulations in a timely manner	Low/Medium	<ul style="list-style-type: none"> - Wrong HB/CTR paid to customers - Subsidy claim qualified - Reputational 	<ul style="list-style-type: none"> - Revs and Bens Service Manager - Benefit Operational & Systems Manager 	<ul style="list-style-type: none"> - Ensure software supplier delivers upgrade on time - Fully test software prior to installing in 'live' system - Train staff in new procedures - Monitoring and management Reporting 	
2	Revenues & Benefits	Failure to meet collection targets in respect of council tax & business rates	Medium/High	<ul style="list-style-type: none"> - Collection fund - budget setting 	<ul style="list-style-type: none"> - Revs and Bens Service Manager - Revenues Operational & Customer Service Manager 	<ul style="list-style-type: none"> - Ensure a robust recovery strategy - Adequate resources - Promote CTR 	
3	Revenues & Benefits	Effectiveness of Business Continuity Plan	Medium/High	<ul style="list-style-type: none"> - Loss of staff - Loss of IT systems - Loss of accommodation 	<ul style="list-style-type: none"> - Revs and Bens Service Manager - IT Manager 	<ul style="list-style-type: none"> - Key staff able to operate from home - IT system backed up daily 	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
4	Revenues & Benefits	Failure to recruit & retain staff	Medium/Medium	<ul style="list-style-type: none"> - Unable to meet demands/targets - Service delivery deteriorates - Low morale - Added pressure - Increased sickness - Increased costs 	- Revs and Bens Service Manager	<ul style="list-style-type: none"> - Managers to work closely with HR People Strategy - Workforce planning 	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	<p>Financial:</p> <ul style="list-style-type: none"> - More council tax to collect - Increased arrears - Collection fund pressures - Budget setting. 	- Revs and Bens Manager	<ul style="list-style-type: none"> - Work with colleagues in other Local Authorities & ESCC - Consult with residents - Make contact with affected persons - Ensure residents are kept informed - Ensure a robust recovery schedule 	Adjust CTRS accordingly for future years
6	Revenues & Benefits	Introduction of new self-service system during 19/20	Low/Med	System not performing as predicted	Revs and Bens Manager	<ul style="list-style-type: none"> - Implementation of project managed effectively - Due diligence of product and supplier Communications plan in place for residents 	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 Evolving 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: **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 members	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
3	Legal Service	Property, Planning & Contracts: instructions - lack of full, precise and timely instructions from client departments Failure to follow procurement rules Not enough attention paid to specification of contracts	Medium / High	- Reputational - Time pressures on funding - Financial – failure to achieve best value for authority - Financial – legal challenge from unsuccessful tenderers - Financial challenge from contractors where we are in breach of contract – cannot comply with specification	- Chief Legal Officer DirectorS	- Professionally qualified staff providing advice on what is required - Contribution to training of client officers - Use of Iken system clarifies instructions - Project and Programme Management processes require procurement issues to be addresses in a timely manner - Regular updating training on procurement rules - Work with East Sussex Procurement Hub - Clients need to ensure that they know what they want and are ready to comply with contract	Advice from East Sussex Procurement Hub
4	Legal Service	Losing staff at a key time – impacting on resilience	Medium / High	- Financial – cost of outsourcing or locum assistance - Reputational – Risk of failure to deliver - Undue pressures on Service - Difficulty in recruiting staff	- Chief Legal Officer	- High profile matters – identified for outsourcing at an early stage of instruction. - Resilience built within the team - Administration resilience across teams - May have to pay more money	- Use of known locum staff

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
5	Electoral Services	Statutory timetable and requirements not met when compiling and maintaining the Electoral Register	Low / High	<ul style="list-style-type: none"> - Legal – residents disenfranchised and not able to vote leading to a challenge to the election result. - Financial – costs of legal challenge and re-running elections. - Reputational: mistrust by residents of accuracy of the Electoral Register and future election results. 	<ul style="list-style-type: none"> - Electoral Registration Officer - Chief Legal Officer 	<ul style="list-style-type: none"> - Professionally qualified and trained staff with regular skills and knowledge updates. - High quality software package in place. - Contracts in place with printers and software suppliers. - Good networks for support and advice 	<ul style="list-style-type: none"> - External professional resources utilised if necessary
5	Electoral Services	Organisation of Elections - Statutory timetable and requirements not met.	Low / High	<ul style="list-style-type: none"> - Legal – residents disenfranchised and not able to vote leading to a challenge to the election result. - Financial – 	<ul style="list-style-type: none"> - Electoral Registration Officer - Returning Officer - Chief Legal Officer 	<ul style="list-style-type: none"> - Professionally qualified and trained staff with regular skills and knowledge updates. - Project Plan for each election in place with a Project Group, also an Elections Committee chaired by the Returning Officer. - East Sussex wide Electoral Services Network available for support and advice and a good working relationship with the 	<ul style="list-style-type: none"> - External professional resources utilised if necessary

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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"> costs of legal challenge and re-running elections. - Reputational: mistrust by residents 		<p>Electoral Commission has been established.</p> <ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - Statutory timetable and requirements not met 	<ul style="list-style-type: none"> - Electoral Registration Officer - Chief Legal Officer 	<ul style="list-style-type: none"> - Resilience is provided across Directorate teams to assist with election duties - Project planning and procedure notes production in place 	<ul style="list-style-type: none"> - 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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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"> - Poorly planned resource allocation - HBC not responsive to emerging issues 	- Directors	<ul style="list-style-type: none"> - Directors lead work at Strategic Oversight and Planning Board - setting Strategic Direction and developing Operational Blueprint for future of HBC. - PIER programme to identify resources at time priorities are agreed - Staff involvement and engagement processes - Service review programme examining services in detail and assessing customer focus and efficiency (Business process mapping completion and review) 	-
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"> - Legal – Decisions made are open to challenge. - Reputational High risk of negative media and public profile. - Financial – costs of 	- Continuous Improvement & Democratic Services Manager	<ul style="list-style-type: none"> - Forward Plan management via ModGov ensures that responsibility is shared with service departments. - Modern Gov system automated process for assisting with report publication rolled out. 	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"> - response targets not met - impact on staff time/capacity to respond 	Low/Medium	<ul style="list-style-type: none"> - Complaint to Information Commissioner - Opportunity cost impact on service delivery 	- Continuous Improvement & Democratic Services Manager	<ul style="list-style-type: none"> - Firmstep software used to co-ordinate FOI responses - Common requests available online to reduce avoidable contact. - Regular reviews of breadth of information made available to identify if there are further areas that can reduce FOI request - 	Internal escalation process
4	Continuous Improvement & Democratic Services	Corporate complaints timescales not met	Low/High	<ul style="list-style-type: none"> - Reputational impact/potential legal action/lack of confidence - Finding against HBC from Local Government Ombudsman 	- Continuous Improvement & Democratic Services Manager Chief Legal Officer	<ul style="list-style-type: none"> - 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. - CMG regularly review learning from complaints/trends. 	Internal escalation process

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

	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"> - Over payments - Staff not paid - NI / Tax not paid - surcharged - Services may have to close - Employment tribunal claims - Industrial action 	Executive Manager (EM) People, Customer and Business Support	<ul style="list-style-type: none"> - Business Continuity Plan in place with software supplier - Managers and team trained on payroll process. Manual option as contingency. 	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"> - Staff unable to deliver services due to lack of skills and knowledge - Organisation stagnates - New initiatives / developments undertaken without adequate business case or planning - Unable to manage more with less - Unable to deliver government / local 	EM People, Customer and Business Support	<ul style="list-style-type: none"> - Organisational Blueprint and delivery programme to be developed in 19/20 with associated project workplans developed - Project outcomes will help anticipate resources required for the future and will inform recruitment and retention. - Staff engagement programme ensures regular communication and briefing opportunities. 	-

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
				leadership agenda - Loss of key staff - Increased sickness - Disengaged staff			
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	- Support for managers / organisation reduced - Processes not followed increase in claims via E.T. - Loss of knowledge - Reduced services - Increased complaints - Increased sickness - Staff over loaded - Reputation of HBC undermined	- EM People, Customer and Business Support	- Senior HR working alongside service managers and developing workforce plan to meet future organisational/service needs. - Workforce plan prepared. - HR briefings on HR policies / procedures, employment legislation - Sickness absence – refresher & mental health training for managers – focus on handling short term absences. -Mental health first aiders in place throughout org - Managers Training apprenticeship scheme to be rolled out	Agency staff
4	People Support	Non-compliance with employment legislation Corporately	Medium / Medium	- Increased number of tribunal claims –	- EM People, Customer and Business	- HR briefings (see above) - Ensure policies and procedures adhered to – including timelines	-

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
				costs against the Council	Support	<ul style="list-style-type: none"> - Provide support to managers - Inform finance as early as possible - Use experienced HR advisor (qualified) - Early contact with relevant managers 	
5.	People Support	Poor industrial employee relations	Low/High	<ul style="list-style-type: none"> - Impact on service delivery. 	<ul style="list-style-type: none"> - EM People, Customer and Business Support 	<ul style="list-style-type: none"> - Maintain current Employee relations framework which encourages partnership working between management and unions, enabling effective negotiation, consultation and communication. 	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"> - Legal action/Loss of reputation/ confidence - Potential harm to staff and public - Potential harm to HBC buildings 	<ul style="list-style-type: none"> - EM People, Customer and Business Support 	<ul style="list-style-type: none"> - 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. - Ensure that relevant teams undertake risk assessments as and when required for events in the buildings etc. - Test & maintain alarms. - Issue instructions on staff ID cards/ staff lanyards (grey)– mandatory - Monitor and maintain ID card and fob systems for staff 	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"> - Increase in stress levels experienced by staff and related illness absence - Potential legal claims - Physical harm/injury - Financial 		<ul style="list-style-type: none"> - Monitor and maintain ID card and fob systems for tenants/contractors/councillors and visitors. - ensure visitors visibility improved through the use of named/coloured lanyards - staff encouraged to challenge individuals not displaying ID's and accompany them to Business Support to be issued with temporary ID (if appropriate) - Security arrangements enhanced Panic buttons - Manager supervision and support 	
7	Business Support	Equipment breakdown (printers, water coolers etc, lifts, heating) - System breakdown (Condeco)	Low/Low	- Unable to use Equipment or software	- EM People, Customer and Business Support	<ul style="list-style-type: none"> - Effective and efficient call-out arrangements - Business Support team continue to work with our suppliers to ensure when call outs requested they are responded to in a timely manner. - Regular building checks made 	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
						<ul style="list-style-type: none"> - Facilities management group 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	<ul style="list-style-type: none"> - Potential injury to Persons and buildings 	<ul style="list-style-type: none"> - EM People, Customer and Business Support 	<ul style="list-style-type: none"> - Health & Safety Audits - Identity cards/lanyards issued to staff with a requirement to be worn. - Building checks undertaken by Business Support in conjunction with Health and Safety adviser. - Regular maintenance of systems. 	-
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"> - Reputation undermined - Impact on service delivery - Financial Implications - Additional contacts to rectify <p>advice/information given.</p>	<ul style="list-style-type: none"> - CMG - EM People, Customer and Business Support - Corporate Customer Services Manager 	<ul style="list-style-type: none"> - Good communications with service departments to plan for peaks in service demand - Rolling training programme to refresh knowledge - Service reviews rolling programme to review processes and customer service issues - Customer satisfaction surveys undertaken - Greater use of technology to address issues of unavoidable contact and reduce face to face contact at first point. - 'Queue busting' processes initiated to limit waiting times of some customers - Performance management processes in place 	<ul style="list-style-type: none"> - 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"> - Increase in stress levels experienced by staff and related illness absence - Potential legal claims - Physical harm/injury - Financial Implications 	<ul style="list-style-type: none"> - EM People, Customer and Business Support - Corporate Customer Services Manager 	<ul style="list-style-type: none"> - Regular H&S training and refresher - Security arrangements enhanced - Lone worker training - Conflict training for all staff - Options to interview in secure rooms - Panic buttons - Appropriate use of alert scheme - Manager supervision and support 	-
11	Community Contact Centre	Cash handling and risk of theft by public or staff.	Low/High	<ul style="list-style-type: none"> - Financial Implications 	<ul style="list-style-type: none"> - EM People, Customer and Business Support - Corporate Customer Services Manager - 	<ul style="list-style-type: none"> - Cash theft prevention systems in place - Effective monitoring and auditing - Use of CCTV systems as evidence and protection for staff. 	- Insurance
12	Community Contact Centre	Total systems failure	Low/High	<ul style="list-style-type: none"> - Reputation undermined - Customer dissatisfaction 	<ul style="list-style-type: none"> - EM People, Customer and Business Support - Corporate Customer 	<ul style="list-style-type: none"> - Business Continuity Plan - Linked to IT recovery plan - Manual processes implemented - Phone system alternative – use at Muriel Matters House albeit with reduced capacity. 	- Firmstep software is hosted on industry leading platform with stringent contractual SLA to recover

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
					Services Manager		service.

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Corporate Services and Governance

Service: IT

	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	IT	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, 'loop' of resilient private. Servers now 'virtualised', second email server and internet feed provided at Town Hall, other risks mitigated through improved recovery times	

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Operational Services Directorate

Service: **ENVIRONMENT and PLACE**

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). All service requests for the street cleansing DSO and the new waste contractor (Biffa) require data transfer from HBC My Hastings system through to their service delivery management systems.</p>	<p>Short term: Low / Low</p> <p>Medium term: Low / Medium</p>	<p>Loss of access to data Interruption to service delivery</p>	<p>Assistant Director in relation to IT hardware used by his services and their Business Continuity Planning arrangements. Responsibility of AD for Environment and Place and their individual service team leaders with respect to business continuity arrangements for specific service areas.</p>	<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, Business Continuity Planning arrangements in place.</p>	<p>Information and Communications Technology team acquire and rebuild new servers and affected IT equipment and upload recovery back-up data. Lead time anywhere from approximately half to a couple of days to receive new hardware.</p> <p>Many of these services could operate using paper based systems for a short time pending reinstatement of IT systems.</p>

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Waste services	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: The council's DSO resources would be redeployed as necessary to help clear access to key shopping areas. Refuse/recycling/garden waste collections would be prioritised once access for freighters resumed, with refuse being the top priority. The contractor would also attempt to catch up missed collections by working additional hours such as over weekends.. Disposal Route Problems: The DSO and Biffa would deliver waste to another approved disposal site. Staffing issues: In the event of staffing problems, the DSO and Biffa would look to employ agency staff.	

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Waste - Public Conveniences	Unable to clean public conveniences due to weather or staffing issues	Low / Low	Reputation undermined	Assistant Director / Service Manager	Liability on contractor to ensure continuity of service.	<p>Worst-case scenario would result in toilets being closed during the period.</p> <p>Any closure due to adverse weather would have a limited impact, as there would also be a limited demand during such periods.</p>
Waste – Contract	Union led strike of local Biffa waste contract service and/or the council's street cleansing DSO.	Low / High	Strike action has impact on routine service provision. Potentially refuse/recycling and street cleansing would be impacted, resulting in uncollected refuse and recycling, poor accumulation of litter and waste in streets.	Assistant Director / Service Manager	The Joint Waste Partnership, Biffa and senior management at the council have good working arrangements in place with staff and their representatives.	

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Parking	Significant reduction in car parking income	Low / High	Financial loss for the Council Reputation undermined	Assistant Director / Service Manager	Budget regularly monitored, including income generation. If income dropped dramatically, could reduce costs by decreasing staff. Parking fees generally only changed every 2 years and impacts of fee increases and demand are carefully monitored.	Adjust operational costs accordingly
Licensing	Reduction of income generation from economic downturn	Low / Low	Financial loss for Council Increased legal cost Reputation undermined	Assistant Director / Service Manager	Budget regularly monitored including income generation. In fact, recession appears to be triggering more applications e.g. taxis.	If income dropped dramatically could reduce costs by re-profiling staffing
Environmental Health	Failure of stray dog contract due to contractor going into administration or experience staffing/recruitment issues.	Low / Medium	Failure to meet statutory duty Nowhere to put stray dogs Reputation undermined Cost of providing an alternative service which is not budgeted for.	Assistant Director / Service Manager	The stray dog contract services have been jointly procured by Wealden, Rother and Hastings on several occasions, and this model of service delivery continues to work well.	The Hub might be able to find a supplier in the very short term despite it being cross boundary before securing one more permanently.

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Environmental Health and Waste enforcement services	Legal challenge Appeals against enforcement action i.e. judicial review, ombudsmen review	Low / Medium	Staff time used Financial implications Reputation undermined	Assistant Director / Service Manager	Work closely with Legal Team on prosecutions and enforcement cases to reduce risk of inappropriate action being pursued.	
Environmental Health and Licensing services	Staff shortages due to retirement, staff leaving and not being replaced etc.	Med/Med	Unable to deliver full service Increase in complaints Bad publicity locally	Assistant Director / Service Manager	We have carefully managed the deletion of posts and retirement of key staff. This has included periods of mentoring and handover of roles by outgoing staff to new staff. We will continue this approach wherever possible, f, .	Use agency staff as a short term solution as there are many companies offering specialist help albeit at relatively expensive rates compared to in-house staff.
Grounds Maintenance Joint Contract between Hastings Borough Council/Rother District Council/Optivo (Amenities)	Contract Specifications not being fulfilled.	Low / Med	No grounds maintenance being undertaken. Adverse impact on look and feel of town.	Service Manager	Successful joint partnership procurement between Rother District Council/Hastings Borough Council/Optivo has resulted in one contractor with significant savings being realised. Partnership and monitoring structures are in place and being implemented and monitored.	If o all contract stewardship negotiations were exhausted, use East Sussex Procurement Hub (ESPH) to secure another contractor. The Hub might be able to find a supplier in the very short term despite it being cross boundary before securing one more permanently. The contract does provide for liquidated damages and these would be vigorously pursued.

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Provision of new Visitor Centre at Hastings Country Park Nature Reserve	Contractor fails to complete the build.	Low /High	Reputational risk to Council. Cost of legal action against principal contractor. Cost of completing partially built visitor centre.	Service Manager	Careful corporate project management. Due diligence carried out in relation to preferred contractor.	
Livestock management at the country park	Criminal damage to livestock containment systems resulting in livestock roaming outside of prescribed areas and either injuring themselves or people they come into contact with.	Low/High	Cost of legal action resulting from accident/injury claims. Reputational Damage. Animal welfare concerns.	Environment and Natural Resources Manager	Careful management of livestock containment. Awareness raising of benefits of how we are managing livestock with people visiting the country park.	
10 year Higher Level Stewardship Agreement at Hastings Country Park, 2013-2023	Brexit and new funding mechanisms limit external funding element compromising the council's ability to honour the HLS agreement	Med/Med	Reputational and legal risks	Environment and Natural Resources Manager	The government has advised that it will honour any reduction in EU grant funding in the short term.	

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Maintenance of play grounds and play areas	Sites fall into disrepair as insufficient funding available for routine ongoing maintenance and periodic renewal of play equipment and site infrastructure. Decreasing play value of sites. Increased risk of health and safety hazards developing and accidents occurring. Increased risk of claims against the Council.	Low/Med	Reputational damage and legal/claims costs Reduced scope for play within the borough	Assistant Directors for Environment and Place and Regeneration and Culture Environment and Natural Resources Manager and the Leisure Development Manager	Operation of sites reviewed in 2016 and rationalisation agreed, enabling more effective use of existing budgets. Sites subject to safety checks to minimise risk of serious safety hazards developing.	Close sites at risk
Parks and open spaces	Existing asset monitoring and record keeping systems found to be inadequate to successfully defend serious accident/injury claims against the council.	/	Cost of defending and settling claims Reputational damage	Service Manager	Risk assessments and periodic system of inspection in place for parks and open spaces. Investigate and review new hand held devices and software as part of the corporate digital transformation programme.	

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Cemetery and Crematorium	Failure to provide cremation and burial services through equipment failure, staffing issues/capacity, severe winter weather.	Low / High	Damage to reputation. Serious consequences for customers. Loss of income.	Assistant Director / Service Manager	Cremators regularly maintained and specialist maintenance contracts in place. Relief cremator operators trained to provide sickness / absence cover and enable shift working at peak times of demand. Effective and well tested contingency plans in place for winter.	Arrangement in place with Eastbourne Crematorium to undertake cremations in the event of total loss of service.

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Community Safety	<p>Police restructuring and budget cuts resulting in reduction in front line Policing</p> <p>Loss / reduction in partnership funding</p> <p>Escalation of anti-social behaviour and crime and disorder associated with the wider street community.</p>	<p>Med / High</p> <p>Med / Med</p> <p>Med / Med</p>	<p>Increase in crime and fear of crime.</p> <p>Reputational damage</p> <p>Increase in demand for Council resources.</p> <p>Increase in ASB and Street drinking in public areas</p> <p>Reputational damage Negative impact on local economy/tourism</p>	Assistant Director / Service Manager	<p>Engage with local Police and Police and Crime Commissioner (PCC) to ensure resources are allocated to areas of greatest need. In 2019/20 PCC funding for Hastings has increased.</p> <p>Employ a Community Safety Manager to lead on engagement with community safety partners.</p> <p>Take a lead role at multi agency Community Safety meetings.</p> <p>Reprioritised council warden service and obtained CSAS accreditation to enable them to take a leading role in enforcing the antisocial. Public Space Protection Order in areas of highest impact.</p>	

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Community Safety	Large scale public disorder or loss of life at a public event	Low / High	Reputational damage Litigation against the Council / staff members Civil or criminal prosecutions Increase in Community Tensions	Assistant Director / Service Managers (together with other community safety partners)	Active participation in and leadership of the local Safety Advisory Group . The Safety Advisory Group encourages and drives continuous improvement in how local event organisers plan and manage their events. Effective enforcement of the management of licensed premises. Careful scrutiny of arrangements for events to be held on council land.	

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Community Safety	<p>A crime involving the serious harm or death of a visiting international language student</p> <p>Potential for increased hate crime post Brexit increasing risk of incidents involving foreign students and workers.</p> <p>Serious injury/loss of life</p>	Low / High	<p>Reputational damage at home and abroad</p> <p>Damage to the local economy and regeneration</p> <p>Increase in community tensions</p>	Assistant Director / Service Manager (together with other community safety partners)	<p>Well established partnership working with the language schools and other key agencies to promote safe practices amongst the students.</p> <p>Well established schemes in place with other key partners to promote community cohesion, and to reduce the likelihood of hate crime.</p> <p>Strong leadership from the Safer Hastings and Rother Community Safety Partnership Board and associated operational groups.</p>	

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Community Safety	An act of terrorism	Low / High	Significant loss of life Increase in community tensions Damage to the local economy and economic regeneration Reputational damage	Assistant Director / Service Manager	Participation at Prevent Board meetings. Attendance at Prevent related Security Review meetings. Compliance with requirements of Counter Terrorism and Securities Act 2015. Local Prevent awareness training to front line staff. Promoting Prevent awareness amongst local businesses. Supporting Sussex Police in links with local Mosque. Safety Advisory Group also helps scrutinise event plans and Police review from terror perspective.	

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Bathing Water Quality	Bathing water fails to meet annual European Union standard	Med / High	Beach closes Loss of tourism income Reputational damage	Assistant Director Environment and Place	Multi-agency Executive Board met in Nov 2018. Agreed to reconvene Technical Group consisting of HBC, SWS and the EA to explore options for reducing likelihood of failure during 2019 season. Group met in Jan 2019 and agreed measures to be implemented prior to the start of the 2019 season. Throughout the bathing water season the Council, Southern Water and the Environment Agency have continued to work together to identify and address illegal drainage connections to the surface water drainage system.	

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Flood Risk Management	Impact of severe weather. Loss of Government Funding	Med / Med	Loss of life Loss of amenity Financial impact	Assistant Director / and Service Manager, Regeneration and Culture	Enhanced / cost effective revenue based maintenance programme to increase timeframe for replacement of flood defences. Alternate funding streams identified via Department for the Environment, Food and Rural Affairs and Environment Agency. Medium Term Plan used effectively and in close liaison with Environment Agency Flood Risk Management Team. The Hastings Flood Plan was reviewed, updated and exercised in 2015/16 and is scheduled for another review in the next 18 months	

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Cliffs (Building Surveyors and Assistant Director of Corporate Services and Governance.	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 / Service Manager	Biennial programme of inspection and remedial action. Maintain existing controls in place (catch fences, signage, barriers) Reporting system in place with other relevant stakeholders	

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Service Area	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
Duty of care to the Public (All Services)	Negligence in inspecting and maintaining assets Trees failing / falling Out of date policies Failure to ensure fully trained and competent staff Loss of databases (plus documents stored within them)	Med / Med	Injury Claims Financial impact Reputation undermined	Assistant Director	Risk assessments and periodic system of inspection in place for all park sites and buildings. Legionella, fire and asbestos risk assessments and 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 and Safety updates. Contracts monitored with specific arrangements for H&S reporting via monthly meetings.	Reviewed insurance cover especially in these areas.

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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"> • Increased costs • Reputation undermined • Legal challenge • Public impact • Inequality of public access 	Assistant Director H&BE	<ul style="list-style-type: none"> • Service monitoring through weekly team meetings • Quarterly review and reports of key indicators/targets through Performance Review meetings • Service reviews (Housing Services Review, Housing Strategy review , homelessness strategy revision, allocations review, revised renewal financial assistance and enforcement policies) • Consideration of contingency plans/budgets through management team meetings & budget review meets. • Business continuity planning & risk assessments • Alternative delivery models (e.g. Coastal Space initiative, Social Lettings agency, Licencing & Compulsory Purchase Order programme) 	
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"> • Increased Service demand • Additional legal duties increase workloads • Legal challenge • Reputation undermined 	Assistant Director H&BE Options Manager	<ul style="list-style-type: none"> • Maintain/raise corporate awareness through Performance Review/ Scrutiny/Cabinet etc • Regular stakeholder engagement through strategic liaison meetings with main Social Landlords (Optivo) Housing and Support Service meetings & Private Landlord forums. • Engagement with the Department for 	

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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"> Increased expenditure Quality of service Public health & wellbeing 		<p>Works and Pensions and Universal Credit colleagues to raise operational barriers and find solutions.</p> <ul style="list-style-type: none"> New Housing and Homelessness Strategies introduced. Policy reviews of Allocations. Impact & risk assessments Improvements in cross team /service co-operation (e.g. Housing /Housing Benefit team action Plan) Annual update of anti-poverty strategy & action plan 	
3	Housing (Renewal)	Failure to meet housing licensing targets	Med/Med	<ul style="list-style-type: none"> Reputation undermined Unmet targets Impact upon staffing Impact upon public health/wellbeing Financial cost 	Assistant Director H&BE Renewal Manager	<ul style="list-style-type: none"> Delivery Team produced action plan in place to meet targets, encompassing existing and new targeted properties. Mid-term review and impact assessment and review scheduled to re-profile income levels. 	
4	All Housing	Failure to manage customer expectations	Low / Medium	<ul style="list-style-type: none"> Reputation undermined Disengagement & demoralisation of staff Customers 	Assistant Director H&BE and Planning Services Renewal Manager	<ul style="list-style-type: none"> 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 Monitoring and review of statistics 	<ul style="list-style-type: none"> Compliments and Complaints analysis

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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"> dissatisfaction Legal challenges Adverse impact on partnership cost 	Options Manager	<ul style="list-style-type: none"> Involve / empower customers Regularly monitor customer satisfaction questionnaires, reporting at management meetings and take restorative steps where necessary if issue identified. 	
5	All Housing	Health and Safety	Medium / High	<ul style="list-style-type: none"> Accidents to staff resulting in time lost Enforcement action by Health & Safety Executive against the Council Civil action by employees against the Council 	All Managers Buildings Manager	<ul style="list-style-type: none"> Training and development programmes Risk Assessment Flexible working practices implemented and risk assessed Review of accidents and dangerous occurrences at Monthly Managers Meetings Regularly review at Team Meetings 	<ul style="list-style-type: none"> Management trail of all actions taken and demonstrating best practice to reduce the effect of litigation
6	All Housing	Loss of key staff and members- Knowledge Management	Medium / Medium	<ul style="list-style-type: none"> Statutory targets not met Key priorities and projects not met Loss of skills and knowledge 	All Managers Assistant Director H&BE	<ul style="list-style-type: none"> Housing Services Review undertaken & new implementation plan in place Succession Planning documentation of systems, plans, procedures and projects Training and development programmes Induction programme Career Grade Structure in place Retention Policy in place 	<ul style="list-style-type: none"> Agency staff Documented procedures
7	Housing Renewal	Failure to maintain delivery in the	Low /High	<ul style="list-style-type: none"> Targets not met Posts at risk Increased risk of 	Assistant Director H&BE	<ul style="list-style-type: none"> Funding and/or support for other partners such as YMCA, Town team in place. Renewal Area status extended for 5 years. Project team and communication plan in 	

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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"> homelessness Standards and management in the Private Rented Sector decline Reputation undermined Legal challenge Poor housing stock Impact on regeneration objectives and deprivation increases Public health & wellbeing Key priorities and projects not met Financial burden on the organisation 	Renewal Manager	<ul style="list-style-type: none"> place Strategic group oversee project Proactive Enforcement Programmes operational in the 7 streets Business continuity planning & risk assessments undertaken Marketing & Publicity exercises carried out 	
8	Housing Options	Failure to secure affordable housing solutions to prevent rising numbers of	Med/Med	<ul style="list-style-type: none"> Rise in homeless applications Increased levels of spending on B&B Increased levels of rough 	Assistant Director H&BE and Planning Services Housing Needs Manager	<ul style="list-style-type: none"> Regular stakeholder engagement through strategic liaison meetings with main Social Landlords (Optivo) Housing and Support Service meetings, Private Landlord forums. Allocations Policy review New Housing and Homelessness Strategies introduced The Housing and Wellbeing Hub reviewed 	

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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"> • Legal challenges • Reputation undermined 		quarterly with Clinical Commissioning Group and associated partners.	
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"> • Increased risk of homelessness • Impact on regeneration objectives and deprivation increases • Key Corporate priority not met • Standards and management in the Private Rented Sector do not improve 	Assistant Director H&BE and Planning Services Housing Needs Manager	<ul style="list-style-type: none"> • Research & Financial feasibility study carried out • 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 • Risk assessment carried out and reported to Cabinet and CMG. 	
10	Housing Options	Failure to meet commitment to resettle	Med/Low	<ul style="list-style-type: none"> • Publicly stated commitment not met • The needs of vulnerable 	Assistant Director H&BE and Planning Services Housing Needs	<ul style="list-style-type: none"> • East Sussex D&Bs to continue funding dedicated SRP coordinator for East Sussex • Consult and work in partnership with the South East Strategic Partnership for 	

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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"> • Project Plan and risk register to be kept under review • Project Plan oversight from the East Sussex Housing Officer Group (ESHOG) 	
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"> • Change in Euro exchange rate will effect need to match fund • Publically stated commitment to project not met • Impact on regeneration objectives and deprivation increases 	Assistant Director H&BE Renewal Manager	<ul style="list-style-type: none"> • Regular Steering Group Meetings • Project specific risk register maintained • Euro exchange rate monitored • Funding profile adjusted following every claim 	
12	Housing Options	Council Budgets put at risk due to failure to	High/Med	<ul style="list-style-type: none"> • Reduced income from B&B placements • Increased use 	Assistant Director H&BE and Planning Services Housing Needs	<ul style="list-style-type: none"> • Maintain/raise corporate awareness through Performance Review/ Scrutiny/Cabinet etc. • Regular engagement with Housing Benefit and stakeholder partners to understand 	

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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.		of resources and officer time	Manager	ongoing changes to Universal Credit <ul style="list-style-type: none"> • Weekly meetings with applicants in B&B to check the status of Universal Credit applications online • Regular contact with other Universal Credit in other areas to share knowledge and best practice • Internal HBC Operational Working Group created to oversee the impact of welfare reform on Council services 	
13	Housing Options	The introduction of the Homelessness Reduction Bill as an Act (HRA) creates additional statutory duties for LAs, the implementation of which may not	Med/High	<ul style="list-style-type: none"> • Workloads increase significantly and ability to prevent homelessness is reduced • Reduced staff morale and increased workloads and levels of stress/sickness • Rise in homeless applications 	Assistant Director H&BE and Planning Services Housing Needs Manager	<ul style="list-style-type: none"> • Additional resources secured via the Flexible Homelessness Support Grant (limited to 2018/19) to help meet potential increased demand and workload from introduction of HRA • Continue to work with East Sussex D&Bs to explore using external specialist advice to assist in designing new operational policies and procedures to meet HRA duties • Continue to work with Ministry for Housing, Communities and Local Government and the National Practitioner Service (NPS) to design service delivery which ensures we are HRA compliant • Maintain/raise corporate awareness 	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
		be adequately funded by Government		<ul style="list-style-type: none"> Increased levels of spending on B&B Increased levels of rough sleeping and associated ASB Legal challenges Reputation undermined 		through Performance Review/ Scrutiny/Cabinet etc. <ul style="list-style-type: none"> 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 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 Monitor staff morale through 121s and consultation with POD 	
14	Housing Options	Delivery of the Clinical Commissioning Group (CCG) funded Housing and Wellbeing Hub Project	Med/Low	<ul style="list-style-type: none"> Publically stated commitment to project not met Rough sleeping and associated street activities increases Failure to improve the health outcomes and housing outcomes for rough sleepers and the street community 	Assistant Director H&BE and Planning Services Housing Needs Manager	<ul style="list-style-type: none"> Regular Project Board meetings with operational Hub members and the CCG Quarterly returns and reports produced for CCG Board Project risk register maintained 	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
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"> Publically stated commitment to project not met Failure to meet project outputs against payments from the MHCLG 	ESHO Assistant Director H&BE and Planning Services Housing Needs Manager	<ul style="list-style-type: none"> Project Core Group to meet monthly and monitor project outputs against target Project Core Group to keep MHCLG updated of project progress including project risks 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 Budget review meetings with Finance colleagues 	

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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"> - Financial implications – judicial review, legal cost & compensation - Reputation undermined - irreversible damage Council sued for negligence 	Section Manager	<p>Procedures are in place to monitor progress on a number of levels as applications progress. Close supervision of staff by Senior Planners, and the Development Manager facilitated through casework meetings, one to one meetings and checking of delegated and committee reports.</p> <p>Experienced and qualified staff and adequate capacity for the workload.</p> <p>Service reviews on resourcing.</p>	
2	Development Management	Lose Planning Appeal decision	Low/Medium	<ul style="list-style-type: none"> - Reputation undermined - If costs awarded maybe financial implications 	Section Manager	<p>Experienced and qualified staff that remain up to date with current guidance and policy through continuing professional development.</p>	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
						<p>Planning Committee Members are trained and understand the consequences of refusing planning consent. A programme of training each quarter is already in place.</p> <p>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 & processing Conservation Grant schemes</p> <p>Merging of grant officer and conservation officer roles. Conservation</p>	Low/Medium	<p>- Financial implications</p> <p>- Reputation undermined</p> <p>- Delay in providing decisions within timeframe. Refund of application fees</p> <p>This will and has led to complaints and affects the speed with which decisions are made.</p>	Principal Planning Officer	<p>Optimal resourcing from ring fenced fees.</p> <p>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</p>	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
		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.		Time delays in decisions could ultimately affect our ability to meet council targets and at worst could mean designation		<p>on competitive tender submissions 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 Council will be externally audited by Heritage Lottery at the end of scheme.</p>	
4	Development Management and Local Land Charges	Financial management – mislay incoming money	Low / Medium	<ul style="list-style-type: none"> - Financial implications - Pressure on resources trying to rectify situation - Reputation 	Section Manger	There is a corporate procedure to record incoming payments. This procedure has been regularly audited.	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
				undermined			
5	Development Management	Incorrect information comes from call centre	Low / Medium	<ul style="list-style-type: none"> - Impact on service delivery - Resources wasted - Reputation undermined - Possible compensation 	Section Manager	<p>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 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>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</p>	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
						obtain the correct information	
6	Development Management, Local Land Charges and Planning Policy	Lack of staffing / financial resilience	Medium/Medium	<p>- Inability to do the work</p> <p>- Unacceptable deficit</p> <p>Increased likelihood of errors leading to Judicial reviews/complaints/lost appeals and cost to authority</p> <p>Possible designation if speed of decisions is below government targets.</p> <p>Loss of Income to Local Land Charges</p>	Assistant Director H&BE and Section Managers	<p>Procedures have been reviewed to ensure maximum efficiency.</p> <p>Development Management – planning officers:</p> <p>Workloads to be monitored and reviewed In the event of significant under capacity.</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 sector search companies and may lose business to them as a result.</p>	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
						Service remains 2 staff short of full capacity and Senior / Principal Level despite advertising posts	
7	Development management and Local Land Charges	Loss of data / information	Low / High	<ul style="list-style-type: none"> - Impact on service delivery - Financial implications <p>In some cases, it has become clear that important plans and elevations have been removed from paper copies of applications. This had resulted in additional money paid to consultants / barristers to establish legal positions arising from this.</p>	IT service and Section Managers	All records have now been scanned and are held electronically with separate back-up.	
8	Development Management, Local Land Charges and Planning Policy	Injury of staff on site and in the work environment	Low / High	<ul style="list-style-type: none"> - Potential litigation - Financial implications - Impact on service delivery 	Section Managers and staff	Corporate health and safety procedures are in place and are followed. Relevant training of staff is undertaken regularly including lone working etc. Personal protection	

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk avoidance	Risk mitigation
				- Reputation undermined		<p>equipment is provided to staff.</p> <p>Staff on site have mobile phones and are required to report their whereabouts.</p> <p>SOS safety devices to be issued to enforcement staff</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"> - Financial implications - Pressure on resources trying to rectify situation 	Assistant Director H&BE	Close monitoring of performance is undertaken by the section managers and finance staff and this is reported to the Service Manager on a regular basis. Measures are undertaken to respond to any significant variation of actual income to budget.	
10	Building Control delivered by the Wealden and Hastings	Failure to deliver service	Low/High	<ul style="list-style-type: none"> - Impact on service delivery - Financial implications - Health and safety 	Assistant Director H&BE	Under the Partnership between Wealden DC and HBC to deliver the Building Control Service there is a contract which defines the	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
	Building Control Service			impact – unsafe buildings		procedures to change arrangements if required. The service performance will be monitored through agreed Performance Indicators contained in the Contract	
11	Planning Services	Failure to maintain CPO Programme for Empty Homes	Low/High	<ul style="list-style-type: none"> • Targets not met • Staff at risk • Number of empty homes increase • Funding at risk (new homes bonus) • Reputation undermined • Legal challenge • Poor housing stock • Impact on regeneration objectives • Public health & wellbeing • Key priorities and projects not met 	Assistant Director H&BE and Section manager	<ul style="list-style-type: none"> • training and development programmes • effective management of scheme • systems and procedures in place and reviewed • project team and communication plan in place • proactive targeting of long term empty homes • revised Empty Homes Strategy 	

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Regeneration and Culture

Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk Avoidance	Risk mitigation
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
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 Services)	Bathing water fails to meet new EU standards Ownership and	Med / High	Loss of tourism income Reputational damage Extensive operational coordination required.	Asst Director E&P / Resort Manager	Project continuing with EA and Southern Water focusing on: Missed connections, sewer system faults, de-silting ponds, natural stream filtration and community engagement	Continue working with partners to address known problems.

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk Avoidance	Risk mitigation
	responsibility of Outfall Pipe				(HVA). Feasibility study will assess longer term protective options including long-sea outfall. Legal Services researching outfall pipe ownership issues. AW to update	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	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	Upgrade building security and fire detection/preve

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk Avoidance	Risk mitigation
	through fire, vandalism, alarm failure, staff failure.				place. Fire Risk Assessments completed	ntion. Increase in staff capacity to 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 19/20 repair/refurbishment/replacement of 37 timber groynes between Pier and Cinque Ports Way	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	Bi annual inspection programme and remedial action Maintain existing controls in place (catch fences, signage, barriers) Reporting system in place with other relevant stakeholders	Enhanced inspection regime, but complete risk avoidance almost impossible

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk Avoidance	Risk mitigation
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 Activity Strategy targets and public expectations.	Leisure Development Manager / Leisure Team	We continue to submit external funding applications in order to sustain a range of leisure projects in line with council priorities agreed in the corporate plan.	No effective avoidance measures identified
	Failure to deliver as per external funding contractual agreements.	Low / High	Claw back of external funding. Reputation undermined. Legal action. Overspend.	Leisure Development Manager / Leisure Team	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.	Regular monitoring and evaluation of contractual delivery.
	Failure in duty of care to participants & staff.	Low / High	Impact on safety of individuals. Legal action. Reputation undermined.	Leisure Development Manager / Leisure Team	Risk assessments and procedures are systematically reviewed. Training in place.	Increase rigour of risk assessments and ongoing monitoring
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)	Failure to operate the Adventure Playground as per contractual	Low / Med	Loss or reduction of service. Failure to meet Play Strategy targets. Failure to meet public	Play Development Officer in partnership with In2Play.	Regular monitoring meetings with In2Play, includes a focus on the overall funding plan. Play Development Officer to meet In2play 16-1-19 to	Increase monitoring activity

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk Avoidance	Risk mitigation
Services)	requirements.		expectations. Reputation undermined. Injuries and accidents to staff and public		discuss 2019/20 funding plans, lease update and confirm quarterly monitoring dates	
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	Assistant Director / Service Managers	All staff who have unsupervised access to children and vulnerable adults have Enhanced DBS checks in place. Events/activities designed to minimise risk. – ensure wording is right – enhanced DBS? 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.	Risk assessments & periodic system 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	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	Respond to the SPF consultation when open

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk Avoidance	Risk mitigation
	Loss of EU transnational programmes due to BREXIT and EU programmes no longer requiring UK partner				<p>Shared Prosperity Fund</p> <p>13th AUGUST 2016 TREASURY STATEMENT All programmes which are signed prior to autumn statement will be guaranteed by UK government for programme life.</p> <p>16/5/2017 Update from MMO re EMFF All projects need to be committed by March 2019, and completed by Summer 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 Update June 2018 ERDF CHART agreement signed Update July 2018 DESTI-SMART agreement signed Lobby for UK govt funding to replace EU funding post Brexit. July 19 Further ERDF funding launched by LEP, preparing a bid, Will need to explore Brexit implications.</p>	

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk Avoidance	Risk mitigation
					Lobby via coastal LEP prospectus work the local industrial strategy, to position coastal towns to bid for UK Shared prosperity fund once available. Oct 19 Low carbon ERDF submitted, Treasury guaranteeing funding. Stronger Towns Fund promised for Hastings, awaiting prospectus. Still await news on Shared Prosperity Fund.	
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	Hopeful that markets will settle and Bank of England supports the economy for businesses. January 2019 - economic uncertainty continues with regard to BREXIT. Risk of no deal Brexit will be explored in detail with partners and the likely local impact and mitigation measures	Full risk mitigation difficult at current time

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk Avoidance	Risk mitigation
					explored. Grants/Loans to stimulate business investment/retention	
Regeneration and Culture	Downturn in EU visitor trips	Med /Med	Reduced tourism spend Tourism business closures	Marketing and Major Projects Manager	We are reviewing visitor economy and will explore need for communication regarding visitor market once future Brexit position is clearer	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	Increase staff resources via external funding 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.	Realign staff resource to priority projects such as Bohemia and Income Generation. Reduce targets Reduce workload in line with reduction of staff
Cultural Programme	Failure to raise additional funds for 2019/20 & 2020/21 programme.	High /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	Cultural programme will be tailored to fit within available budget. No other effective avoidance measures identified
Cultural Programme	Failure to build strong local	Med / Med	Reputational damage Reduced impact of cultural	Museum & Cultural	Cultural Leaders Steering Group now well established and supportive of	Step up Cultural Leaders

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk Avoidance	Risk mitigation
	support for cultural regeneration plans		regen ambitions	Development Manager	strategic 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.	Steering Group activity. Refocus staff activity to engage with funders and local cultural organisations/c ommunity
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. 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	Risk Avoidance	Risk mitigation
Production of the Local Plan Review and other Local Plan related documents	<p>Work demands that are not programmed e.g. Neighbourhood Plans</p> <p>Changes to Planning Policy and Guidance</p> <p>Staff shortages e.g. unable to recruit, long term sick leave etc.</p> <p>Requisite expertise or capacity not available in-house</p> <p>Longer process times, especially due to high level of responses</p>	<p>High/High</p> <p>Medium/High</p> <p>Medium/High</p> <p>Med / Med</p> <p>Medium/Low</p>	<p>Delay Possible financial cost</p> <p>Delay</p> <p>Delay Financial cost</p> <p>Financial cost</p> <p>Delay</p>	Assistant Director Regen & Culture	<p>Review programmes for priority policy documents</p> <p>Reassess priorities through review of LDS</p> <p>Subject to timing of absence, purchase expertise on short term basis via consultancy</p> <p>Staff training/CPD Purchase expertise on short term basis Sharing expertise with other LPAs Secure administrative assistance Review programme and priorities</p>	<p>Increase staff capacity/refocus staff</p> <p>No effective avoidance measures identified re govt policy changes – out of HBC’s control</p>
Coastal Communities Fund 4	Delivery of the programme within the budget and timeframe work agreed with DCLG	Medium / High	Delay Financial cost Reputation	Regeneration Manager	<p>Monitoring arrangements, and employment of dedicated staff.</p> <p>All projects completed and outputs met, project close out meetings currently underway with partners. White Rock fountain due for construction and completion by November, within programme deadline</p>	<p>Working closely with partners and input of appropriate levels of resources to deliver projects.</p>

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk Avoidance	Risk mitigation
					for December 2019.	
Connecting Hastings and Rother Together (CHART) (see project specific risk register)	Delivery of the programme within the budget and timeframe work agreed with DCLG	Medium / High	Delay Financial cost Reputation	Economic Development Manager	Monitoring arrangements, and employment of dedicated staff. Jan 19 - Staff team in place Call 1 launched in June 18. First projects to be commissioned by Spring 19. 2 nd call to be launched by April 19.	Working closely with partners and HBC cross council officers to ensure identification of projects / match to deliver programme
Hastings Fisheries Local Action Group	Delivery of the programme within the budget and timeframe work agreed with MMO BREXIT impacts	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. All projects approved by March 2019 deadline and all funding allocated (actually extra £30k given by programme). Oct 19 Now tracking project status to ensure maximum spend of committed funds.	Working closely with external partners to ensure timely spend by projects.
Redesign and relaunch of 1066 Country Website	Website redesign does not meet requirements Continuing	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	

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Risk Avoidance	Risk mitigation
	staffing resource not in place to maintain content				New website soft launched on 1 July 2019, official media launch 14 October	
Income Generation	See Financial services risk register			Income Generation Manager		
Blue Flag and Seaside Award Status	Insufficient resource to meet award criteria resulting in loss of status	Low/High	Reduced tourism spend Tourism business closures Reputational damage Financial losses (parking etc)	Resort Manager	Coordination of public activity to support status Link to internal projects – DSO, Marine Litter, FLAG etc	Align operation and resources to deliver service in line with award criteria Seek external funding for projects in line with award criteria – cycle hire/play hut etc.

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