

Sheet Name	Status	Risk	Impact	Financial Impact if known	Likelihood	Severity	Priority	Counter measures	Residual Likelihood	Residual Severity	Residual Priority	Category	Date Identified	Author	Assigned to	Available to public	CMG Report type	Send to Audit Committee	Send to CMG	Send to CRMG	Strategic risk	Public RAID item	Strategic RAID item	Yes	Yes	Yes	Corp. Obj			
Audit - RAID log	Active	Business/Ukraine war	Finance - inflation Impact		Medium	High	Red	Regulatory representation	Medium	High	Red	Organisation	01/01/21	Tom Davies	Tom Davies	TRUE		TRUE			TRUE	Yes	Yes	Yes	Yes	6				
Audit - RAID log	Increasing	Systems audits - risks of not identifying key weaknesses, or threats in a constantly changing risk environment	- Loss of credibility of audit and false assurance	Worst case scenario, a malicious cyber attack would cost something in the low Emillions.	Medium	High	Red	Experienced staff, review by Chief Auditor and buying-in resource	Medium	High	Red	Organisation	01/01/21	Tom Davies	Stephen Dodson, Tom Davies	TRUE		TRUE			TRUE	Yes	Yes	Yes	Yes	6				
Building Surveyors - RAID log	Increasing	Treasury Management - Cost of borrowing Increased borrowing or an increase in interest rates, plus eligibility to borrow from the Public Works Loan Board	£44.68m borrowed at 31 March 2021 Operational borrowing limit £110m in 2021/22 Authorised borrowing limit £115m in 2021/22	Each £1m of new borrowing financing an asset with a life of 49 years would cost the Council some 7p.a. (based on a maturity loan with a 2.8% interest rate) i.e. £30,000 p.a.	Medium	High	Red	- Use of External Advisors - Link Asset Services - Ensure staff are well trained - Ensure adequate cover - Treasury Management Strategy, Capital Strategy and Treasury Management Practices that are reviewed at least annually Use of Capital Receipts	Medium	Medium	Yellow	Business Organisation	01/01/21	Peter Grace	Kit Wheeler	TRUE					TRUE	Yes	Yes	Yes	Yes	6				
Business Support - RAID log	Active	Breach of fire and building health and safety regulations at Town Hall or Muntel Matters House and security.	- Potential injury to Persons and buildings		Low	High	Yellow	- Health & Safety Audits - Identify cards/layards 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.	Low	Low	Green	Business Organisation	01/01/21	Verma Conolly	Verma Conolly							TRUE	Yes	Yes	Yes	Yes	6			
Business Support - RAID log	Active	Breach of Town Hall or Muntel Matters House Security including potential contentious public meetings - asset or data loss	- Legal action/Loss of reputation/confidence - Potential harm to staff and public - Potential harm to HBC buildings		Low	Low	Green	Regular review at Corporate health and safety group of incidents reported. All relevant policies/procedures amended accordingly and disseminated to all staff - 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 - Monitor and maintain ID card and fob systems for tenants/contractors/foundries and visitors. - ensure visitors visibility improved through the use of name/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) - 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 - Monitor and maintain ID card and fob systems for tenants/contractors/foundries and visitors. - ensure visitors visibility improved through the use of name/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)	Low	Low	Green	Business Organisation	01/01/21	Verma Conolly	Verma Conolly										TRUE	Yes	Yes	Yes	Yes	6
Cemetery & Crematorium - RAID log	Active	Failure to provide cremation and burial services through equipment failure, staffing issues/capacity, severe winter weather. Cremator equipment is older and more prone to maintenance issues.	Damage to reputation. Serious consequences for customers. Loss of income. Pressure on availability of services within reasonable timescales		Low	High	Yellow	Arrangement in place with Eastbourne Crematorium to undertake cremations in the event of total loss of service. Cremators regularly maintained and specialist maintenance contracts in place. Relief cremator operators trained to provide services - absence cover and enable shift working at peak times of demand. Effective and well tested contingency plans in place for winter. This under control	Low	Medium	Green	Business Community Finance	01/01/21	Mia Hepworth	David Birchington, Natasha Tewkesbury							TRUE	Yes	Yes	Yes	Yes	6			
GHART programme - RAID log	Active	Inefficient project expenditure to enable successful MMA case to be recovered (MMA budget max 25% of programme costs)	MMA budget claimable and resulting grant income may be less than the MMA total cost expenditure, resulting in financial risk to council.	Approximately £30k	High	High	Red	Live tracking of project expenditure to assess MMA budget breache. Actions to mitigate programme cost on MMA budget. This is ongoing, but has now become an issue as well.	High	High	Red	Finance	01/01/20		Bridge Point							TRUE	Yes	Yes	Yes	Yes	5			
GHART programme - RAID log	Active	Accountable body unable to claim back cashed (owed) fundpay back received (payments from Managing Authority due project ineligible expenditure/outcomes. This is now appearing in our MA claim checks and some project irregularities.	HBC will have paid out expenditure which it cannot recover from the Managing Authority, resulting in financial risk to council. Risk slightly increased by OJRF releasing claim payments to us prior to checking our submission		Medium	High	Red	Animator to work closely with recipients to mitigate risk of ineligible claims being submitted. Project claims also checked by Compliance Officer, External Funding Manager and our Audit team before payments authorised. See comments	Medium	High	Red	Finance	01/01/20		Bridge Point							TRUE	Yes	Yes	Yes	Yes	5			
Community Safety - RAID log	Active	Large scale public disorder or loss of life at a public event	Reputational damage Litigation against the Council/ staff members Civil or criminal prosecutions Increase in Community Tensions		Low	High	Yellow	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	Low	High	Yellow	Community	01/01/21	John Whittington	John Whittington, Natasha Tewkesbury							TRUE	Yes	Yes	Yes	Yes	6			
Community Safety - RAID log	Reducing	An act of terrorism	Significant loss of life Increase in community tensions Damage to the local economy and economic regeneration Reputational damage		Low	High	Yellow	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 Safer Places in line with local MoJ/char. Safety Advisory Group also helps scrutinise event plans and Police review from terror perspective.	Low	High	Yellow	Community	01/01/21	John Whittington	John Whittington, Natasha Tewkesbury							TRUE	Yes	Yes	Yes	Yes	6			
Continuous Improvement & Democratic Ser - RAID log	Active	Statutory publication dates for agendas and forward plan missed, resulting in meetings having to be cancelled and a delay to key decisions.	-Legal - Decisions made are open to challenge -Reputational High risk of negative media and public profile. Reputational damage	-Financial - costs of legal challenges.	Low	High	Yellow	Legal provision is in place to obtain permission to accept late items if exceptional circumstances but only if certain conditions have been met. Forward Plan management via MoGov ensures that responsibility is shared with service departments. Modern Gov system automated process for assisting with report publication rolled out.	Low	Medium	Green	Organisation	01/01/21	Stephen Dodson	Coral Harding							TRUE	Yes	Yes	Yes	Yes	6			
Enforcement - RAID log	Active	Significant reduction in car parking income	Financial loss for the Council Reputation undermined		Low	High	Yellow	Agmt operational costs accordingly. Budget regularly monitored, including income generation. If income dropped dramatically, could reduce costs by decreasing staff. Parking fees generally only charged every 2 years and impacts of fee increases and demand are carefully monitored.	Medium	Medium	Yellow	Business Finance	01/01/21	Mia Hepworth	Natasha Tewkesbury, Paul Gasson, Victoria Gorhearty							TRUE	Yes	Yes	Yes	Yes	6			
Environmental Health - RAID log	Active	Serious Breaches of Health and Safety legislation.	Serious Injury/death. Reputational damage. Prosecution. Civil litigation. Financial penalties.		Low	High	Yellow	Maintenance and implementation of effective health and safety management systems including regular inspections and reviews. Implementation of effective health and safety training and awareness programme. Insurance and reserves	Medium	Medium	Yellow	Business Community Organisation	01/01/20	Mia Hepworth	Ian Wheeler	TRUE		TRUE	TRUE			TRUE	Yes	Yes	Yes	Yes	6			
Environmental Health - RAID log	Active	Duty of care to the Public Negligence in inspecting and maintaining assets Trees falling/ falling Out of date policies Failure to ensure fully trained and competent staff Loss of databases (plus documents stored within them)	Injury Claims Financial impact Reputation undermined		Medium	Medium	Yellow	Reviewed insurance cover especially in these areas. Risk assessments and periodic system of inspection in place for all park sites and buildings. Logbooks, fee and asset 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&E reporting via monthly meetings.	Low	High	Yellow	Business Community Finance	01/01/21	Mia Hepworth	Cameron Morley	TRUE		TRUE				TRUE	Yes	Yes	Yes	Yes	6			
Estates - RAID log	Active	Failure to maintain assets managed by Estates	Properties fall into disrepair. Unrepected costs	Council contributes £308,000 p.a. to the Renewal and Repairs Reserve. Annual costs continue to exceed the annual provision being made	Medium	Medium	Yellow	Adequate budget (RAR and capital). Planned programme of repairs and inspections. However, large unexpected, uninsured events could result on calls to the General Reserve.	Medium	Medium	Yellow	Business Finance	01/01/20	Amy Terry	Amy Terry, Kit Wheeler	TRUE	4th option TBC	TRUE	TRUE	TRUE	TRUE	TRUE	Yes	Yes	Yes	Yes	3			

Finance - RAID log	Active	Changes in Central Government policy and legislation e.g. new environmental legislation	Changes over which the Council has little or no control will happen. Changes in responsibilities and role of District/Borough Councils. Loss of income. New demands. Impact on contracts and tendering, reserves and staff resources	New legislation should result in new business funding. However funding is often "one off" whilst legislation is ongoing...	High	High	Red	Play an active role in lobbying Government to ensure the best awareness of District Councils views about key policy agendas via professional bodies and LGA. Track decisions and consider implications at an early stage to ensure HBC can respond. Project manage implementation of changes, potentially reallocation resources and reprofiling activity if required.	High	High	Red	Business Community Organisation Project/Work stream Technical Legal Finance HR	01/01/20	Tom Davies	Kit Wheeler	TRUE		TRUE	TRUE	TRUE	Yes	Yes		6	
Finance - RAID log	Active	Treasury Management - Loss of money	Any loss of money through fraud, investment loss, etc is likely to be significant to the Council whatever financially or reputationally. The investigation into cash losses and fraud are time consuming and often complex.	Gross budget £84.6m £15- £40 million invested at any one time. cash collection, electronic payments.	Medium	High	Red	- 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 - Insurance - Money Policy/ Cash in Transit	Medium	High	Red	Business Organisation	01/01/21	Peter Grace	Kit Wheeler	TRUE		TRUE		TRUE	Yes	Yes		6	
Finance - RAID log	Active	Income streams	- Budget deficits, Collection Fund Deficits, Bad debts	Reduced income levels due to Covid-19 pandemic. Structural changes in shopping habits will lead to reduced income from shops and potentially offices as market rental reduce	High	High	Red	Adequate provisions - Ensure regular budget monitoring reports distributed followed up by meetings - Report variances quarterly through performance review - Active management of properties and services	High	High	Red	Business Organisation	01/01/21	Peter Grace	Kit Wheeler	TRUE		TRUE		TRUE	Yes	Yes		6	
Finance - RAID log	Active	Budget setting - Limited information - Late decisions - Inadequate processes	- Staff dser/franchised - Low morale - In fighting		Low	Low	Green	- Ensure regular budget monitoring reports distributed followed up by meetings - Report variance through performance review - PFR process - Provide appropriate financial advice as directors/senior management request - Medium Term Financial Strategy	Low	Low	Green	Business Organisation	01/01/21	Peter Grace	Kit Wheeler				TRUE	Yes	Yes		6		
Finance - RAID log	Active	External suppliers - Bankruptcy, administration	- Depends which contract		Medium	High	Red	Security bond in place for contracts over £250,000 (where appropriate) - Financial health checks - Adherence to Financial Rules when letting contracts - Effective use of Procurement Hub expertise	Medium	Medium	Yellow	Business Organisation	01/01/21	Peter Grace	Kit Wheeler				TRUE	Yes	Yes		6		
Finance - RAID log	Increasing	Government Funding - Continued lower levels of funding with potentially even more reductions in the years ahead.	Council unable to deliver Corporate Plan objectives and deliver services. Reserves diminish to below minimum recommended levels. Unsustainable budget necessitating reductions in staff and activities and inability to sustain Capital programme.	Budget Deficit of £1.483m in 2021/22, £2.286m in 2022/23 and £2.6m in subsequent years.	High	High	Red	PIER review - efficiencies/cuts, budget process, medium term financial strategy options. Energy generation options being considered which may provide additional income.	High	High	Red	Organisation Finance HR	01/01/20	Peter Grace	Kit Wheeler	TRUE	4th option TBC	TRUE	TRUE	TRUE	TRUE	Yes	Yes		6
Finance - RAID log	Increasing	Impact of economic climate - Covid-19, on Income and Expenditure levels	Loss of income. Increased service demand. Corporate regeneration priorities not delivered.	Decreased rental values, increased non payment of Council Tax and business rates, more bad debts, more court action	High	High	Red	Reprioritisation of service provision ensuring that 'must do' priorities are delivered to 'statutory' levels. Review Corporate regeneration priorities. Adjust the capital spending programme.	High	Medium	Red	Organisation Finance HR	01/01/20	Peter Grace	Kit Wheeler	TRUE	4th option TBC	TRUE	TRUE	TRUE	TRUE	Yes	Yes		6
Finance - RAID log	Increasing	'Brexit' implications	Loss of most/all European Grant Funding Decline in European visitors or workers Lost benefits of those European grant funded projects terminated Medium to long term economic uncertainty Loss of key industries whose trade is with Europe New impacts on small/medium businesses in towns that trade with EU Effects on supply chains for capital projects	Supply chain increases costs	High	High	Red	Government short term guarantee for approved grants Reserves and potential Government funding depending on requirements All project financial assessments need to include sufficient contingency to cover potential up costs once tenders are received and projects operational	High	High	Red	Business Organisation Legal Finance	01/01/20	Tom Davies	Kit Wheeler	TRUE		TRUE	TRUE	TRUE	Yes	Yes		6	
Finance - RAID log	Increasing	Corporate Governance - Financial Information, Transparency, Effective Financial Management and controls Non Compliance with Financial Management Code of Practice as a Council and ensuring proper management of the Council's financial affairs	Council not sustainable without a sustainable budget, effective working relations in the leadership (councillors and officers)	large budget deficits. Reserves all used within 3 years at current rates if sufficient savings are not identified and actioned in a timely manner.	Medium	High	Red	Affordable Plans and realistic expectations Lobbying government for additional resources Seek external funding Identify savings, maximise income, manage efficiency and effectively. Retain key staff	Medium	High	Red	Organisation Finance	01/01/21	Peter Grace	Kit Wheeler					TRUE	Yes	Yes		6	
Finance - RAID log	Increasing	ERP contract renewal / Potential change to Working arrangements with Rother DC	Council unable to take income, report on HR/ Finance, unable to produce statutory Statement of Accounts and therefore qualified Audit opinion.	Contract needed and potential increase in costs if RDC decide to go in a different direction with HR as expected. Currently one contract for both authorities.	High	High	Red	Agree an extended contract with current provider to give both RDC and HBC the correct amount of time to investigate and analyse what we need to future proof and meet our strategic and operational goals and then go through procurement tender to find the best possible solution. New project team created with SRD identified and working party set up ASAP to look into potential options.	High	High	Red	Business Organisation Technical Finance HR	26/9/22	Kit Wheeler	Kit Wheeler					TRUE	Yes	Yes		6	
Housing Options - RAID log	Active	Increased demand for council services (e.g. Housing, Homelessness and associated risks around rough sleeping and Community Safety) because of economic/social deprivation as a consequence of the economic situation, constraints on Public Spending and changes in welfare benefit systems.	Increased pressure on HBC services including benefits and homelessness, increased poverty and deprivation, negative impact on community cohesion. Adverse impact on Council Tax collection rate. Less Housing Benefit paid. More pressure on DHP fund. Migration from London Boroughs. This will impact on homelessness presentations and acceptances, including temporary accommodation usage.	Maintain and widen partnership working, e.g. the successful approach to tackling social issues around street community. Seek appropriate external economic development financial opportunities where the business case justifies and capacity allows Community Safety Partnership. Council Tax Our CPF programme directed at advice and support for vulnerable people. Performance targets for homelessness reviewed and agreed. Additional financial support for prevention measures supported through Discretionary HB payments etc. and new Government funding. Review and monitoring of staff capacity to be carried out mid-year. New housing and homelessness strategies being developed. Acquisition programmes for Temporary Accommodation. Further development of social letting agency. Development of new housing on council land. Local Plan review. Rough sleepers funding programme Adequate level of reserves to cope with excessive unplanned changes Reduce or end other non-statutory services to be able to address this priority.	High	High	Red		High	High	Red	Business Community Organisation Project/Work stream Technical Legal Finance HR	01/01/20	Tom Davies	Andrew Palmer	TRUE		TRUE	TRUE	TRUE	Yes	Yes		1	

Housing Options - RAID log	Active	Failure to manage the impact of changes in the law and/or government policy initiatives (e.g. impact of welfare benefit changes on homelessness levels)	Increased Service demand -Additional legal duties increase workloads -Legal challenges -Reputation undermined -Increased expenditure -Quality of service -Public health & wellbeing	Low	Medium	Green	Maintain/raise corporate awareness through Performance Review Scrutiny/Cabinet etc. -Regular stakeholder engagement through strategic liaison meetings with main Social Landlords (Optivo & Oris) Housing and Support Service meetings & Private Landlord forums. -Engagement with the Department for Work and Pensions and Universal Credit colleagues to raise operational barriers and find solutions. -New Housing and Homelessness Strategies introduced. -Policy review 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 -Ongoing co-production and development work with MHCLG -LGA Housing Advice Programme - review of Housing Options service, scoping of landlord liaison role -Rough Sleepers Accommodation Programme - 10 x 1 bed units	Low	Low	Green	Business Community Legal Finance HR	30/04/21	Andrew Palmer	Alan Sheppard, Andrew Palmer, Dawn Eckersley							TRUE	Yes	Yes				1	
Housing Options - RAID log	Active	The Social Landings Agency unable to offer Landlords a new tenancy management service to replace the Private Sector Leasing (PSL) scheme. Significant increases in costs as a result of rising rents across Hastings.	-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	-Increase in spend on BAB	Medium	Medium	Yellow	-3 year business plan agreed by Cabinet in October 2019 to continue council acquisition and Private Sector Leasing Scheme. -Ongoing discussion with DLUHC and Homes England regarding grant funding to expand the leasing scheme	Medium	Medium	Yellow	Business Community Legal Finance	30/04/21	Andrew Palmer	Alan Sheppard, Andrew Palmer, Dawn Eckersley						TRUE	Yes	Yes				1	
Housing Options - RAID log	Active	Delivery as lead partner of Sussex-wide Rough Sleeper Prevention Project, funded by the MHCLG.	-Publicly stated commitment to project not met -Failure to meet project outputs against payments from the DLUHC	-Loss of DLUHC grant	Low	Medium	Green	-Established governance and performance management arrangements through ESHOG. -Regular contact between DLUHC and Project Team -Funding secured from DLUHC to continue the programme until March 2025. -Additional funding secured to enhance services through Homes England and Public Health	Low	Medium	Green	Business Community Legal Finance	30/04/21	Andrew Palmer	Alan Sheppard, Andrew Palmer, Dawn Eckersley						TRUE	Yes	Yes				1	
Housing Options - RAID log	Increasing	Failure to secure affordable housing solutions to prevent an increase in homelessness households.	-Rise in homeless applications -Increased levels of spending on BAB -Increased levels of rough sleeping and associated ASB -Legal challenges -Reputation undermined	-Rise in the cost of BAB spend	High	High	Red	-Property acquisition programme to deliver council owned TA as a cheaper alternative to highly paid TA -Regular stakeholder engagement through strategic liaison meetings with main Social Landlords (Optivo & Oris) Housing and Support Service meetings, Private Landlord forums. -Allocations Policy review -New Housing and Homelessness Strategies Introduced -The Housing and Wellbeing Hub reviewed quarterly with Clinical Commissioning Group and associated partners. -Council has adopted a new strategic approach to increasing the supply of affordable housing over the next 5 years -Ongoing work with local and national partners to explore opportunities to reduce demand for emergency accommodation and homelessness services	High	High	Red	Business Community Legal Finance	30/04/21	Andrew Palmer	Alan Sheppard, Andrew Palmer, Dawn Eckersley	TRUE	TRUE	TRUE	TRUE	TRUE	Yes	Yes	Yes				1	
HR - RAID log	Active	Loss of key staff / skills / knowledge.	-Loss of resilience. -Loss of capacity to deliver services to a desired or statutory standard. -Lack of resources -Service delivery impacts -Missed opportunity to develop and retain talent in-house.	Management Development Programmes are expensive. Could only train one or two potential candidates once a year. Could utilise apprenticeship levy but existing staff not receptive to attending college or university of chosen providers.	High	Medium	Red	-Capture of knowledge and working practices through mechanisms including Business Process Mapping, Succession planning and talent management at all levels through the 1-1 conversation performance management tools. -Business Continuity Planning resilience. -Recruitment/Retention Policy. -Training support mechanisms utilisation of apprenticeship levy. -One Team working – opportunities to divert skilled resources to higher priority areas for a limited time. -Prepare practical management training programme 12 sessions over 1 per month. -Identify Management Development Course which can be delivered using the apprenticeship levy and designed using a mix of management theory with additional bespoke modules to cover management in Hastings Council.	Medium	Medium	Yellow	Business Community Organisation Finance Work stream Technical Legal Finance HR	30/04/20	Verna Connolly	Jane Horne, Stephen Dodson, Verna Connolly						TRUE	TRUE	Yes	Yes				6
HR - RAID log	Active	Ability to respond to industrial action, changes in Government initiatives or legal requirements. Changes to staff terms and conditions of employment - lack of flexibility of the workforce. No/No pay negotiations fail - pay award not accepted.	- Impact on service delivery. - reputational damage - increased costs to provide cover - some frontline services, impact on service delivery.	Increased costs for agency workers	Medium	High	Red	-Management agreed skeleton cover for specific service areas to cover strike action -Maintain current Employee relations framework which encourages partnership working between management and unions, enabling effective negotiation, consultation and communication. -Identify legal casework. -Appropriate HR policies in place for dealing with industrial action.	Medium	Medium	Yellow	Organisation HR	30/04/21	Verna Connolly	Verna Connolly						TRUE	Yes	Yes				6	
HR - RAID log	Increasing	Loss of key staff within the Organisation and People Customer and Business Support service: -Turnover -Redundancy/retirement -Re-structure -Failure to take a strategic approach to workforce planning puts key services at risk	- 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		High	High	Red	- Agency staff - 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 - Managers Training apprenticeship scheme rolled out - Focus on specific occupational areas such as planning, environmental health, HR, Finance and legal are career graded to enable organisation to grow from within and improve the talent pipeline.	Medium	High	Red	Organisation HR	01/01/21	Verna Connolly	Verna Connolly	TRUE	TRUE	TRUE	TRUE	TRUE	Yes	Yes	Yes				6	
ICT - RAID log	Active	Failure of IT equipment	Very serious impact in the short term for all services.		Low	High	Yellow	- Alternative and back-up services being provided. Regular back-up off-site of data. - Servers now virtualised. Other risks mitigated through improved recovery times.	Low	High	Yellow	Organisation	01/01/20	Mark Bourne	Mark Bourne, Stephen Dodson	TRUE	4th option TBC	TRUE	TRUE	TRUE	TRUE	Yes	Yes				6	
ICT - RAID log	Active	Failure of the service would result in significant failure to meet the Council's statutory obligations or a published strategic objective, or in some other way damage the reputation of the Council.	ICT Services are utilised in the delivery of all statutory services, and the majority of published strategic objectives.		Low	High	Yellow	- Hardware has multiple levels of redundancy. - Real-time data replication to off-site location. - Daily backups of data with off-site storage limit data loss. - Critical networks and telephony have main supply and failovers in different buildings with two routes between. - All staff are issued with laptops and can work from home, reducing the dependency on our own buildings. - Multiple buildings allows for systems to be relocated in the event of building loss. - Increasing use of cloud systems reduces the dependency on our own buildings and equipment.	Low	Medium	Green	Business Organisation Technical		Mark Bourne	Mark Bourne						TRUE	Yes	Yes				6	
ICT - RAID log	Active	Failure of the service, or issues related to it, may adversely affect the ability of the Council to meet its financial commitments.	ICT services are utilised in all aspects of income collection and expenditure payments.		Low	High	Yellow	- Hardware has multiple levels of redundancy. - Real-time data replication to off-site location. - Daily backups of data with off-site storage limit data loss. - Critical networks and telephony have main supply and failovers in different buildings with two routes between. - All staff are issued with laptops and can work from home, reducing the dependency on our own buildings. - Multiple buildings allows for systems to be relocated in the event of building loss. - Increasing use of cloud systems reduces the dependency on our own buildings and equipment.	Low	Medium	Green	Business Organisation Technical		Mark Bourne	Mark Bourne						TRUE	Yes	Yes				6	
ICT - RAID log	Active	Ability to deliver the service may be adversely affected by future demographic or socio-economic changes.	Recruitment of specialist staff is difficult as the pool of suitably experienced and qualified staff is very small.		Low	Low	Green	- We offer career graded posts that allow us to develop staff from trainee to expert status. Our aim is to allow for succession within our pool of staff.	Low	Low	Green	Business Organisation Technical		Mark Bourne	Mark Bourne					TRUE	Yes	Yes				6		
ICT - RAID log	Active	The service may not have the capacity to deal with the pace or scale of change	National agendas and advancements in technology may place significant demands on ICT time.		Low	Medium	Green	- Monitoring trends and looking for opportunities to share effort and minimise risk.	Low	Medium	Green	Business Organisation Technical		Mark Bourne	Mark Bourne					TRUE	Yes	Yes				6		
ICT - RAID log	Active	Forecasting changes in legislation may adversely affect the ability to deliver the service.	Legislation changes may necessitate major redesigns in operational IT systems.		Low	Medium	Green	- Large systems are procured from external suppliers, with contracts ensuring that legislative commitments are met by the system.	Low	Medium	Green	Business Organisation Technical		Mark Bourne	Mark Bourne					TRUE	Yes	Yes				6		

ICT - RAID log	Active	There could be adverse environmental consequences.	Redundant ICT equipment contains hazardous waste that could adversely affect the environment.		Low	Low	Green	Redundant equipment is disposed of to WEEE standards.	Low	Low	Green	Business Organisation Technical		Mark Bourne	Mark Bourne						TRUE	Yes	Yes		6
ICT - RAID log	Active	There are issues that may adversely affect the competitiveness of the service, e.g. quality, cost, efficiency, ability to deliver Best Value.	Too much focus on cost as opposed to overall quality and ability to meet needs may limit the overall effectiveness of solutions.		Low	Medium	Green	Quality of solutions and ability to meet needs is a key component of the value assessment. Indirect costs and benefits are considered in assessing the overall solution.	Low	Medium	Green	Business Organisation Technical		Mark Bourne	Mark Bourne						TRUE	Yes	Yes		6
Legal - RAID log	Active	Risk of a successful legal challenge.	Financial penalty Reputational damage.		Low	Medium	Green	Access to and provision of timely legal advice at all stages and levels. Legal overview of council activity maintained. Specialist Legal support available if required. Planning Advice appropriately triggered for a response. Maintain high quality Development Control Service	Medium	Medium	Yellow	Legal	01/01/20	Mary Kiker	Mary Kiker	TRUE		TRUE	TRUE	TRUE	Yes	Yes		6	
Legal - RAID log	Active	Contractual Partnerships: Breakdown in contractor performance, for example, Waste contract, Building Control, Leisure contract, White Rock Theatre contract and Ground Maintenance etc.	Failure to achieve corporate objectives. Financial and reputational loss. Additional drain on officer's time on dispute resolution.		Medium	High	Red	Regular review and monitoring of Contracts and Service Level Agreements continued with firm contract management. Appropriate Governance arrangements, Development and implementation of Audit Plan. Business Continuity Planning	Low	Medium	Green	Business Organisation Project/Work stream Technical Legal Finance	01/01/20	Tom Davies	Andrew Palmer, Cameron Morley, Victoria Corneady			TRUE		TRUE	Yes	Yes		6	
Legal - RAID log	Active	Failure to comply with the General Data Protection Regulation (GDPR)	Reputation for safeguarding data. Large financial fines imposed.		Low	High	Yellow	GDPR policies and procedures in place supported by regular training and review.	Medium	Medium	Yellow	Business Community Organisation Project/Work stream Technical Legal Finance HR	01/01/20	Mary Kiker	Mark Bourne, Mary Kiker	TRUE		TRUE	TRUE	TRUE	Yes	Yes		6	
Legal - RAID log	Active	Litigation either criminal or civil Large Claims brought against the Council		Vulnerability to council including costs orders against the Council	Medium	High	Red	Use of external specialist Counsel and Chambers that legal services have used previously. Legal compliance and 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 and support to client departments	Medium	Medium	Yellow	Organisation Legal	01/01/21	Mary Kiker	Mary Kiker					TRUE	Yes	Yes		6	
Legal - RAID log	Active	Property, Planning & Contracts: Inconsistent - lack of full, precise and timely instructions from client departments Failure to follow procurement rules Not enough attention paid to specification of contracts		- failure to achieve best value for authority - legal challenge from unsuccessful bidders - challenge from contractors where we are in breach of contract - cannot comply with specification	Medium	High	Red	Advice from East Sussex Procurement Hub Professional qualified staff providing advice on what is required Contribution to training of client officers Use of lean system clients, inductions Project and Programme Management processes require procurement issues to be addressed 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	High	Medium	Red	Organisation Legal	01/01/21	Mary Kiker	Mary Kiker					TRUE	Yes	Yes		6	
Legal - RAID log	Increasing	Corporate Governance non-compliance with Constitution, procedures, financial rules and standing orders, ultra vires, legal challenge standards issues for members		legal challenge and associated costs	Medium	High	Red	Training to officer client departments Professional legal advice time/capacity built into project development and forward planning processes New IT 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.	Medium	Medium	Yellow	Organisation Legal	01/01/21	Mary Kiker	Mary Kiker					TRUE	Yes	Yes		6	
Leisure Development - RAID log	Active	Failures of child protection Negligence in maintaining assets. Out of date policies. Failure to ensure fully trained and competent staff.	Hurry Claims Financial impact Reputation undermined		Low	High	Yellow	All staff who have unsupervised access to children and vulnerable adults have Enhanced DBS checks in place. Events/activities designed to minimise risk. - ensure working 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 HAS reporting via monthly meetings. Risk assessments & periodic system of inspection in place for all park sites and buildings, and activities.	Low	Medium	Green	Business Community Legal Finance	01/01/21	Keith Duly	Keith Duly, Victoria Corneady	TRUE		TRUE		TRUE	Yes	Yes			6
Managing Director - RAID log	Active	Severe Business Disruption.	Service failure. Reputational damage.		Medium	High	Red	Detailed review of Business Continuity Plans (BCPs) undertaken with external support. Security arrangements have been enhanced and are regularly checked/updated. Systems have stood up to real life incidents Dns Team to be diverted to priority areas. Insurance and reserves	Medium	High	Red	Business Community Organisation Project/Work stream Technical Legal Finance HR	01/01/20	Jane Hartnell	Jane Hartnell, Natasha Tewkesbury			TRUE		TRUE	No	Yes		6	
Managing Director - RAID log	Active	Emergency Planning for a Major Emergency in the borough		Reputational risk if not seen to be managed professionally Financial risk as resources will need to be used	Low	High	Yellow	HBC is an active participant in emergency planning arrangements for Sussex, through membership of the Sussex Resilience Forum, and the East Sussex Resilience and Emergency Partnership. Use of SRF generic and tailored emergency plans, and access to training through the SRF and ESREPP. We operate a 365 days a year emergency on call system, so that operational staff and tactical and strategic managers can be mobilised to liaise with the emergency services if incidents occur in the borough. Arrangements in place to mobilise emergency assistance centres such as for evacuated residents, and we have recently significantly increased the number of staff volunteers for rest centres, and trained them.	Medium	Medium	Yellow	Business Community Organisation Project/Work stream Technical Legal Finance HR	01/01/20	Jane Hartnell	Natasha Tewkesbury	TRUE		TRUE	TRUE	TRUE	Yes	Yes			6
Managing Director - RAID log	Active	Lack of effective corporate planning - lack of capacity, lack of skills, uncertain direction of travel, organisational resistance to change	Poorly planned resource allocation HBC not responsive to emerging issues		Low	High	Yellow	Managing Director leads work at Strategic, Oversight and Planning Board - setting Strategic Direction and developing Operational Blueprint for future of HBC. IPSR 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)	Low	High	Yellow	Organisation	01/01/21	Mark Horan	Jane Hartnell					TRUE	Yes	Yes		6	
Managing Director - RAID log	Increasing	Insufficient organisational capacity to deliver existing commitments set out in the corporate plan alongside implementing required changes to meet the challenge of the council's budget deficit. No resilience in the organisation.	Reductions in HBC capacity necessitated as a result of reduced government funding and a £1.2m budget deficit for 2021 and circa 2.5 million for 21/22 exacerbated further by the pandemic. Increased pressure on staff as a result of uncertainty/pandemic. Higher levels of staff sickness impacting on individuals and on teams ability to deliver. Potential staff turnover and loss of key roles. Opportunities to implement more efficient ways of working constrained by limited capacity - and affected by unplanned losses of team members through sickness etc. Council is already significantly less resilient. Financial and reputational. Failure to deliver corporate objectives. Service standards slip. Efficiencies not met. Pressure on individual staff continues to increase.		High	High	Red	Budget process to review strategic and operational priorities. Acceptance and communication of limitations on capacity. Organisational Blueprint, informed by independent review of management layers (by LGA) to determine ways of working and budget process to prioritise resource allocation. Prioritisation process implemented for assessing new initiatives and opportunities based on agreed criteria. Re-prioritise existing plans to meet available resources. Utilise refreshed performance arrangements and the council's new management centre to better evidence demand to assist in prioritising and decision making as part of the developing corporate standard. Mechanisms in place to address impacts on staff of increasing pressure - to include appropriate workload assessments and mental health support when required.	High	High	Red	Business Community Organisation Project/Work stream Technical Legal Finance HR	01/01/20	Mark Horan	Jane Hartnell, Stephen Dodson	TRUE		TRUE	Yes	Yes					6

