

## OPERATIONAL RISK REGISTERS

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### Corporate Resources Directorate

Service: **ESTATES**

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
1	Estates	Loss of key staff and inability to recruit	Medium / High	- Loss of knowledge and relationship with tenants - Tenants dissatisfied and leave	- CMG - Personnel, Policy and Strategy, i.e. Terms and Conditions	- Keep staff motivated - Retain IIP status - Ensure knowledge shared within Team - Terms and Conditions
2	Estates	St Mary in the Castle MyPlace bid fails	High / High	- Building empty leading to increased costs - Reputation undermined	- Head of Regeneration and Community Services - Estates Manager - Head of Financial Services	- Come up with Plan B and ensure existing operator continues until at least June 2011
3	Estates	Increase in empty units / major tenant leaves	High / High	- Loss of income rental - Units handed back and difficult to re-let	- Estates Manager	- Effective advertising - Continue with special measures - Maintain tenant relationships and get early warning
4	Estates	Change in rates legislation	High / Medium	- Have to pay rates on empty properties	- Estates Manager	- Minimise voids - Rating appeals submitted where possible
5	Estates	Failure to maintain assets	Low / High	- Properties fall into disrepair	- Estates Manager	- Regular inspections - Adequate budget (R & R)
6	Estates	Properties not adequately	Medium /	- Council has to re-	- Estates	- Complete revaluation of Council

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	<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to mitigate risk, time frame for implementation and latest position</b>
		insured	Medium	instate from own money	Manager - Head of Financial Services	property and ensure regular checks on tenanted property
7	Estates	Environmental legislation introduced	Medium / Medium	- Cost as rates could be linked to energy performance and buildings	- Estates Manager	- Assess energy performance of our buildings and improve where possible
8	Estates	Lone working	Low / High	- Risk of injury	- Estates Manager	- Risk assessed - Lone Worker Policy

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Service: **FINANCE**

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
1	Finance	Treasury Management - Loss of money - Reduction of investment incentive - Cost of borrowing	Low / High Low / Medium Medium / Low	- £16.5 million invested	Head of Financial Services	- Use of External Advisers - Sector - Ensure staff are well trained - Ensure adequate cover
2	Finance	Cash collection contract - Firm collapses - Theft by company	Medium / Medium Medium / High	- Reputation undermined - Loss of circa £200k	Head of Financial Services	- Continue daily monitoring of cash banked - regular communication with supplier if the contract is not complied with - Insurance
3	Finance	Reduction/Loss of Government Grant (budget deficit)	High / High	- Budget deficits (Potentially) £2.4m in 11/12 £3.4 m in 12/13	- CMG - Head of Financial Services	- ongoing PIER process - Performance - Medium Term Financial Strategy - Adequate Resources
4	Finance	Financial system upgrade	Medium / High	- Final accounts not closed - Budgets not monitored - Bills not paid - Budgets not produced - Loss of grants	Chief Accountant	-Work with partners to share knowledge - Joint project manager and joint workflow so that we only invent the wheel once and can support each other as our systems are aligned - Training of users/staff

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5	Finance	Uninsured properties / risks	Medium / Medium	- Properties not insured - Loss of money in the event of loss	Head of Financial Services	- Ensure thorough renewals process each year - Make sure we liaise with estates to ensure all properties are insured
6	Finance	Income stream	Medium / High	- Budget deficit	- Head of Financial Service - Chief Accountant	- ensure regular budget monitoring reports distributed followed up by meetings  - report variances to directors so they can address any budget deficits within their service  - report variances quarterly through performance review
7	Finance	Business Continuity	Medium / High	- Payments, benefits, creditors, TRS MAN	- Chief Accountant	- Try to ensure finance system meets changing needs of business - Ensure full staff complement - Business Continuity Plan in place
8	Finance	Loss of key staff	Medium / High	- Stress - Errors / omissions - Financial loss - Poor advice	- Chief Accountant - Head of Financial Services - Personnel, Policies and Strategies - CMG	- Keep staff motivated - Ensure knowledge is shared - Terms and Conditions
9	Finance	Changes in legislation - Financial accounts	Medium / Medium	- Failure to produce accounts	- Head of Financial	- Work with partners in Lewes /Rother to share IFRS implications

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		compliance with IFRS		<ul style="list-style-type: none"> <li>- Qualified by auditor</li> <li>- Staff time</li> <li>- Staff costs</li> <li>-Reputation undermined</li> </ul>	Services - Chief Accountant	<ul style="list-style-type: none"> <li>- Complete re-stated accounts ready for audit in January 2011</li> <li>- Regular liaison with our external auditors PKF</li> <li>- Train staff</li> </ul>
10	Finance	Budget settings - No decisions - Late decisions - No processes	High / Medium	<ul style="list-style-type: none"> <li>- No balanced budget produced</li> <li>- Staff disenfranchised</li> <li>- Low morale</li> <li>- In fighting</li> </ul>	- Head of Financial Services - Chief Accountant	<ul style="list-style-type: none"> <li>- Ensure regular budget monitoring reports distributed followed up by meetings</li> <li>- Report variance through performance review</li> <li>- PIER process</li> <li>- Provide appropriate financial advice as directors/senior management request</li> <li>- Medium Term Financial Strategy</li> </ul>
11	Finance	External suppliers - Bankruptcy, administration	Medium / High	<ul style="list-style-type: none"> <li>- Depends which contract</li> </ul>	- Chief Accountant	<ul style="list-style-type: none"> <li>- Financial health checks</li> </ul>
12	Finance (Income Mgt System Upgrade)	Insufficient staff time is available to complete the project on time and/or to the quality standards required	Medium / Medium	<ul style="list-style-type: none"> <li>- Delay to realising system benefits and impact on project staff time</li> </ul>	- Chief Accountant	Identify resource shortfall as soon as possible and secure additional resources
13	Finance (Income Mgt System Upgrade)	Reliance on staff from other departments being able to contribute to the project as and when required	Medium / Medium	<ul style="list-style-type: none"> <li>- Delays and elapsed time also impacting on project staff time</li> </ul>	- Chief Accountant	Early identification and contact with key staff to ensure availability and commitment within project timescales

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Service: **REVENUES AND BENEFITS**

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
1	Revenues & Benefits	Not implementing changes to benefit rules & regulations in a timely manner	Low/Medium	wrong HB/CTB paid to customers subsidy claim qualified reputational	- Revs and Bens Service Manager - Performance and Quality Manager	- Ensure software supplier delivers upgrade on time - Fully test software prior to installing in 'live' system - Train staff in new procedure
2	Revenues & Benefits	Increased caseload	High/Medium	more staff required additional costs re equipment etc added pressure performance deteriorates	- Revs and Bens Service Manager - Performance and Quality Manager	- Monitor incoming work - Recruit staff - Maintain a good relationship with Agency provider - More flexible working arrangements including home-working - Keep staff motivated - Monitor performance
3	Revenues & Benefits	Failure to meet collection targets in respect of council tax & business rates	Medium/High	collection fund budget setting	- Revs and Bens Service Manager - Collection and Customer Service Manager	- Ensure a robust recovery strategy - Promote council tax benefit in order to help reduce liability
4	Revenues & Benefits	Failure to meet sundry debts collection target as a result of the economic downturn	Medium/Medium	loss of income to Council	- Revs and Bens Service Manager - Income Officer	- Ensure a robust recovery strategy - Liaise with customers as soon as there appears to be a problem

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5	Revenues & Benefits	Effectiveness of Business Continuity Plan	Medium/High	loss of staff loss of IT systems loss of accommodation	Corporate	key staff able to operate from home IT system backed up daily undertake IT Disaster Recovery mock-ups annually
6	Revenues & Benefits	Failure to recruit & retain staff	High/High	unable to meet demands/targets service delivery deteriorates low morale added pressure increased sickness increased costs	Corporate	managers to work closely with HR People Strategy Workforce planning

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Service: **PERSONNEL**

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

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						from working with us.
3	Personnel	Loss of key staff - Turnover - Redundancy  (failure to take a strategic approach to workforce planning puts key services at risk)	High / 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	- Head of Personnel and Organisational Development	- Workforce planning process embedded within service areas - Workforce Development Plan (planned programme with service heads) - HR briefings on HR policies / procedures, employment legislation - Sickness absence priority objective for Personnel / service areas - Managers training in people management issues
4	Personnel	Non-compliance with employment legislation	High / Medium	- Increased number of tribunal claims – costs against the Council	- Head of Personnel and Organisational Development	- HR briefings (see above) - Training for managers in people management issues - Ensure policies and procedures adhered to – including timelines - Provide support to managers - Inform finance as early as possible - Use experienced HR advisors (qualified) - Reports to OPS / CMG - Early contact with relevant managers - Training for managers in handling difficult situations
5.	Personnel	Poor Employee relations	Low/High	Reputation as an employer resulting in high turnover, low morale, poor	- Head of Personnel and Organisational Development	- Maintain and build on current Employee relations framework which encourages partnership working between management and unions, enabling effective negotiation,

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				recruitment and retention, increased sickness absence and increased Employment - Tribunals. - Impact on service delivery.		consultation and communication.

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Service: **LEGAL AND DEMOCRATIC SERVICES**

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

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	Democratic Services	- non compliance with EU procurement rules		challenge from unsuccessful tenderers Reputational	Solicitor / Head of Legal & Democratic Services	CPD. - Regular updating training on EU procurement rules. - Attendance at ESSAS Contracts Group - Work with Procurement Officer - All on-going
5	Legal & Democratic Services	Losing staff at a key time – resourcing	Medium / High	Financial – cost of outsourcing or locum assistance Reputational – risk of failure to deliver Undue pressures on service	- Borough Solicitor / Head of Legal & Democratic Services	- Loss of staff – back up through ESSAS standard fee agreement and Sussex Consortium Framework Agreement - High profile matters – identified for outsourcing at an early stage of instruction. - Sharing information within the team - Use of locum staff where absence is to be prolonged. - On-going
6	Legal & Democratic Services	Compiling and maintaining the Electoral Register Statutory timetable and requirements not met	Low / High	Legal – residents disenfranchised and not able to vote leading to a challenge to the election.  Financial – costs of legal challenge and re-running elections.  Reputational- mistrust by residents of accuracy of the Electoral Register and future election results.	- Scrutiny and Democratic Services Manager	- Professionally qualified and trained staff with regular skills and knowledge updating. - High quality software package in place. - Contracts in place with printers and software suppliers.

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
7	Legal & Democratic Services	<p>Organisation of Elections and Referenda;</p> <p>Statutory timetable and requirements not met.</p> <p>-.</p>	Low / High	<p>Legal – residents disenfranchised and not able to vote leading to a challenge to the election.</p> <p>Financial – costs of legal challenge and re-running elections.</p> <p>Reputational- mistrust by residents of accuracy of the Electoral Register and future election results.</p>	- Scrutiny and Democratic Services Manager	<p>- Professionally qualified and trained staff with regular skills and knowledge updating.</p> <p>- Project Plan for each election in place with a Project Group, also an Elections Committee chaired by the Returning Officer.</p> <p>- East Sussex wide Electoral Services Network available for support and advice and a good working relationship with the Electoral Commission has been established.</p> <p>- Returning Officer and Deputies undertake training.</p>
8	Legal & Democratic Services	<p>Committee administration</p> <p>Statutory publication deadlines missed for agendas and the Forward Plan and meetings have to be cancelled delaying key decisions.</p> <p>Officers/Departments miss deadlines for reports.</p>	Low / High	<p>Legal Leaves HBC open to challenge, for example if Planning Applications are delayed or budget deadlines missed.</p> <p>Financial – costs of legal challenges.</p> <p>Reputational – High risk of bad media and public profile.</p>	- Scrutiny and Democratic Services Manager	<p>- Professionally trained staff with flexible approach.</p> <p>- Officers frequently chased and reminded about report deadlines.</p>
9	Legal & Democratic Services	<p>Losing staff at a key time</p> <p>Statutory timetable and</p>	Medium / High	<p>Trained staff leave or not available during key periods and the</p>	- Scrutiny and Democratic Services	<p>- Democratic Services is a small team and all members have a mix of committee, member support and</p>

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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
		requirements not met		overall reduction in HBC complement creates temporary canvassers and election staff recruitment difficulties.	Manager	electoral responsibilities to build in resilience. - All have and continue to work significant additional hours to ensure deadlines and responsibilities are fully met. - Temporary staff (canvassers, polling station, count and postal vote staff) recruited well in advance of canvass periods and elections. - Arrangement in place for Rother DC Elections Team to assist with elections during the years that Hastings has elections and they do not and vice versa.

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Service: **POLICY, PARTNERSHIP & SUSTAINABILITY**

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
1	PPP	HBC Not achieving corporate objectives e.g. equalities, SCS, effective engagement	Medium / High	- Impact on service delivery - Reputation undermined	- Chief Executive	- Clear direction - Resources allocated in Budget Process
2	PPP	Lack of effective corporate planning – lack of capacity, lack of skills, organisation resistance	Medium / High	- Poorly planned resource allocation - HBC not responsive to emerging issues	- Chief Executive	- PIER programme to identify resources at time priorities are agreed
3	PPP	Withdrawal of external funding for Future Cities Project. Currently funds 1.2 fte of activity re Climate Change	Low/ Medium	- Opportunities missed - Impact on service delivery	- Head of Policy, Performance and Partnerships	- Alternative funding scheme sought
4	PPP	Loss of key staff	Medium / Medium	- Impact on service delivery - Pressure on remaining staff	- Head of Policy, Performance and Partnerships	- Keep staff motivated - Ensure knowledge is shared - Terms and Conditions
5	PPP	Failure of PM management system	Low / Medium	- Loss of records - Reputation undermined	- Head of Policy, Performance and Partnerships	- Linked to IT Recovery Plan

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6	PPP	Failure to effectively engage staff and community in decisions about reducing resources	Medium / Medium	<ul style="list-style-type: none"> <li>- Reputation undermined</li> <li>- Staff dissatisfaction</li> <li>- Complaints</li> </ul>	- Chief Executive	- Staff Morale and Communicating Organisational Change Group established and addressing issues of engagement and communication.

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Service: **AUDIT, INVESTIGATIONS AND PROCUREMENT**

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

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### Regeneration, Homes and Communities Directorate

Service: **REGENERATION**

Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
Regeneration	Lack of staffing resources – existing vacancies but freeze on recruitment due to in year cuts	High / High	<ul style="list-style-type: none"> <li>- Non delivery of corporate objectives and targets</li> <li>- Pressure on staff</li> <li>- Lower level of performance</li> </ul>	Head of Regeneration and Community Services	<ul style="list-style-type: none"> <li>- Reduction in corporate targets</li> <li>- Reprioritisation of remaining 3 months timeframe</li> <li>- Risk has been flagged up</li> </ul>
Regeneration	Immediate reduction in funding	Medium / High	<ul style="list-style-type: none"> <li>- Non delivery of services and targets</li> <li>- Loss of staff</li> <li>- Reputation undermined</li> <li>- Risk to partnerships</li> </ul>	Head of Regeneration and Community Services	<ul style="list-style-type: none"> <li>- No rollover of underspends on quarterly basis</li> <li>- No guarantee of community partnership funding</li> <li>- Retained modest contingency from now until end of March 2011</li> </ul>
Regeneration	Longer term reduction in funding	High / High	<ul style="list-style-type: none"> <li>- Reduction in activity and staff</li> <li>- Economic and social impact</li> <li>- Increase in crime</li> </ul>	Strategic level	<ul style="list-style-type: none"> <li>- Continue to look for other external funding streams</li> <li>- Prioritise regeneration activity from now</li> <li>- Dedicated external funding function resourced</li> </ul>
Regeneration	Other emerging priorities – a number of new priorities and targets are added	High / High	<ul style="list-style-type: none"> <li>- Non delivery of targets</li> <li>- Potential reputational damage</li> <li>- Pressure on staff – sickness, absence</li> </ul>	Strategic level	<ul style="list-style-type: none"> <li>- Seek corporate approval to reduce and prioritise number of targets</li> <li>- Reorganise team to respond to what expect to take forward in next 6 weeks</li> </ul>

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			- Performance declines		
Regeneration	Pier – current plans for long term solution fall through	Medium / High	- Financial implications - Legal implications - Reputation undermined - Environmental impact	Head of Regeneration and Community Services	- Thorough review of feasibility plan - Staged approach - Maintain dialogue with HPURT - Expert legal advice - Cabinet decision to CPO in 12-18 months
Regeneration	St Mary and the Castle – current plans and proposal not funded / MyPlace bid falls through	High / High	- Financial implications - Legal implications - Risk to partnerships - Reputation undermined	Head of Regeneration and Community Services	- Seek alternative use (Plan B) - Confirm current occupant's intentions - Assess ongoing maintenance costs and requirements - Maintain lobbying for MyPlace bid to December 2010
Regeneration	Unable to meet public expectations due to reduction in regeneration activity	High / Medium	- Reputation undermined - Economic and social impact - Partnerships at risk	Managers	- Open and honest communications - Genuine consultation - Information and education - Promote community involvement in decision making - Use experience to include maximum number of people
Regeneration	External project performance declines	Low / medium	- Financial implications - Reputation undermined - Economic and social impact - Legal / contractual implications	Programme Manager	- Maintain robust performance controls - Good communication - Regular evaluation - Contract reviews - Oversight of HBEA on quarterly basis

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### Regeneration, Homes and Communities Directorate

Service: **PLANNING**

Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
Development Control	1. Loss of control of incoming calls as a result of call centre failure	Low / Medium	- Unable to respond effectively to calls - Pressure on resources - Reputation undermined	Section Manager	- Take effective role in set up. - After failure set phones to voicemail.
Development Control, Building Control and Land Charges	2. Financial management – mislay incoming money	Low / Medium	- Financial implications - Pressure on resources trying to rectify situation - Reputation undermined	Section Manager	- Adequate procedures in place. - Close liaison with finance team.
Development Control	3. Incorrect information comes from call centre	Low / Medium	- Impact on service delivery - Resources wasted - Reputation undermined	Section Manager	- Ensure detailed scripts are made available to call centre staff.
Building Control, Development Control, Local Land Charges and Planning Policy	4. Lack of staffing / financial resilience	Low / Medium	- Inability to do the work - Unacceptable deficit	Head of Service and Section Managers	- If under capacity employ outside agency staff. - If over capacity – reduce workforce or take on other works.
Building Control, Development Control and Local Land Charges	5. Loss of data / information	Low / High	- Impact on service delivery - Financial implications	IT service and Section Managers	- Paper file in department – photocopy it on occasions. - Paper files – impractical but extremely low risk of significant loss.

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					- Electronic data – backup systems already in place.
Building Control, Development Control, Local Land Charges and Planning Policy	6. Injury of staff on site and in the work environment	Low / High	- Potential litigation - Financial implications - Impact on service delivery - Reputation undermined	Section Managers and staff	- Use good staff, keep them trained.
Building Control, Local Land Charges and Development Control	7. Poor decision making / lack of checks ad balances	Low / High	- Potential injury on site - Potential litigation - Impact on service delivery - Reputation undermined	Section Managers and staff	- Use good staff, keep them trained.
Building Control, Local Land Charges, Development Control and Planning Policy	8.Complaints about behaviour	Low / Medium	- Reputation undermined - Resources used dealing with complaints	Section Managers and staff	- Use good staff, keep them trained.
Development Control, Building Control and Local Land Charges	9. Loss of income due to changes in legislation and economy	Medium/High	- Financial implications - Pressure on resources trying to rectify situation	Section Managers and Head of Service	- Adequate procedures in place to monitor. - Close liaison with finance team.
Local Land Charges	10. Restitution as a result of legislative change	Low/Medium	- Financial implications	Section Manager	- Realistic possibility following decision from Information Commissioners office to declare Local Land Charges data as Environmental and subsequent removal of Statutory

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					Personal Search fee. - Inform finance and legal of requests should they come and of any further legislative changes.

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Service: **MARKETING AND COMMUNICATIONS**

<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to mitigate risk, time frame for implementation and latest position</b>
Marketing & Communications	Failure of IT equipment	Low / High	- Very serious impact in short term for all services	IT Manager	- Need to investigate alternative and backup services, also ensure regular backup off-site of data
Marketing & Communications	Failure of call centre project	Medium / Medium	- Reputation undermined - Impact on service delivery - Financial implications	Project Management team	- Project manager appointed - Regular project management meetings - Currently on time and on budget
Marketing & Communications	Failure of Stade project	Low / High	- Reputation undermined - Financial implications	Project Management team	- Programme and Project Managers appointed - Regular project management meetings - Regular finance meetings
Marketing & Communications	Reputational risk of a bad PR story	High / High	- Reputation undermined locally and nationally - Resources used to deal with situation - Staff morale declines - Political fall-out	Head of Comms & Marketing	- Weekly PR meetings - Senior politicians and officers aware of impact of bad PR - Immediate damage limitation for bad stories - Very difficult to prevent a journalist writing a 'bad' story if they want :- and the damage is done once published

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**Regeneration, Homes and Communities Directorate**

Service: **HOUSING**

<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to mitigate risk, time frame for implementation and latest position</b>
Housing	Loss of key staff and /or incompetent staff	Medium / High	<ul style="list-style-type: none"> <li>- Legal challenges</li> <li>- Poor quality service delivery</li> <li>- Retention problems</li> <li>- Reputation undermined</li> <li>- Increased homelessness</li> <li>- Poorer housing</li> <li>- Low staff morale</li> </ul>	Head of Housing Services	<ul style="list-style-type: none"> <li>- Competency framework</li> <li>- Retention policies</li> <li>- Promotional / development opportunities</li> <li>- Rewards</li> <li>- Succession planning</li> <li>- Contingency for agency staff</li> <li>- Review targets and delivery models</li> <li>- Effective and timely capability process</li> </ul>
Housing	Loss of / poor quality partnerships and contracts	Medium / Medium	<ul style="list-style-type: none"> <li>- Legal challenge</li> <li>- Unmet targets</li> <li>- Reputation undermined</li> <li>- Loss of money</li> <li>- Loss of service</li> </ul>	Head of Housing Services	<ul style="list-style-type: none"> <li>- Monitoring and review</li> <li>- Future planning</li> <li>- Effective contract management</li> <li>- Communication</li> <li>- Identifying funding</li> <li>- Joint strategic priorities and targets</li> <li>- Review and engagement of partners</li> </ul>
Housing	Failure to manage the impact of changes in the law	Medium / Medium	<ul style="list-style-type: none"> <li>- Insufficient staffing</li> <li>- Legal challenge</li> <li>- Reputation undermined</li> <li>- Public health at risk</li> <li>- Quality of service declines</li> </ul>	Head of Housing Services	<ul style="list-style-type: none"> <li>- Staff training</li> <li>- Maintaining awareness</li> <li>- Engaging in consultation</li> <li>- Communication</li> <li>- Impact assessments</li> <li>- Forward planning</li> </ul>
Housing	Failure to manage customer expectations	Low / Medium	<ul style="list-style-type: none"> <li>- Reputation undermined</li> </ul>	Head of Housing Services	<ul style="list-style-type: none"> <li>- Communication strategy</li> <li>- Monitoring and review of statistics</li> </ul>

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
			<ul style="list-style-type: none"> <li>- Increased workloads</li> <li>- Dissatisfied customers</li> <li>- Legal challenge</li> <li>- Adverse impact on morale</li> <li>- Adverse impact on partners</li> </ul>		<ul style="list-style-type: none"> <li>- Raising profile</li> <li>- Exploiting media</li> <li>- Effective IT</li> <li>- Involving / empowering customers</li> <li>- Satisfaction monitoring</li> </ul>
Housing	Failure to manage the implications of a loss of funding	High / High	<ul style="list-style-type: none"> <li>- Unmet targets</li> <li>- Loss of staff</li> <li>- Reputation undermined</li> <li>- Lack of equality of service</li> <li>- Legal challenge</li> <li>- Reduction in performance</li> <li>- Affects staff in other departments</li> <li>- Increased homelessness</li> <li>- Poor housing stock</li> <li>- Impact on regeneration</li> </ul>	Head of Housing Services	<ul style="list-style-type: none"> <li>- Raising profile</li> <li>- Identify alternative internal / external funding</li> <li>- Communication</li> <li>- Service review / options</li> <li>- Look at delivery models</li> <li>- Partnership working</li> </ul>
Housing	Failure to manage demands on service delivery	High / High	<ul style="list-style-type: none"> <li>- Reputation undermined</li> <li>- Legal challenge</li> <li>- Loss of staff</li> <li>- Targets not met</li> <li>- Loss of funding</li> <li>- Inequality of access</li> </ul>	Head of Housing Services	<ul style="list-style-type: none"> <li>- Monitoring</li> <li>- Effective IT and back up</li> <li>- Reporting and communication</li> <li>- Service review</li> <li>- Contingency budget</li> <li>- Business continuity planning</li> <li>- Outsourcing</li> <li>- Alternative delivery models</li> </ul>

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**Environmental Services Directorate Risk Register**

Service: **PARKING AND EMERGENCY PLANNING**

Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
Parking Services	County Council takes service back and privatises.	Medium / Medium	<ul style="list-style-type: none"> <li>- Staff loss</li> <li>- Income loss</li> <li>- Loss of additional service to town (CCTV, quality of service, accountability)</li> </ul>	Director of Environmental Services & the Head of Environmental Health, Parking & Highways	<p>HBC mobilised community support for the Parking Agreement &amp; following many meetings with ESCC senior management &amp; attendance at 2 ESCC Cabinet meetings by the HBC Deputy Leader to consider the business case, it was agreed that the Parking Agreement would remain in place until at least October 2012.</p> <p>HBC Senior Management &amp; Leadership will be considering the potential for HBC tendering to operate these services either locally or countywide when ESCC test the market in the next 12 months.</p> <p>HBC will be exploring the potential for alternative funding streams for the HBC CCTV Control Room and associated out of hours services in the next 12 months.</p>
Underground car parks	Fire, explosion, flooding, structural failing, security, personal safety, third party equipment and equipment.	Medium / High	<ul style="list-style-type: none"> <li>- Loss of life / property</li> <li>- Loss of income</li> <li>- Amenity loss</li> <li>- Service loss</li> <li>- Reputation undermined</li> </ul>	Head of Environmental Health, parking & Highways & the Parking & Highways	As a result of the fire in the Grand Parade Car Park last March the Executive Finance Manager has reviewed the Council's insurance cover for such locations.

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
				Manager Executive Finance manager	
Emergency Planning (decentralisation)	Increased responsibility but reduced resources / capacity – unable to deliver on responsibilities.	Medium / Medium	- Reprioritise SDP - Financial impact (staff / accommodation)	Head of Environmental Health, Parking & Highways	The Council continues to operate a shared Emergency Planning & Civil Contingencies Service with Rother District Council.
Flood Risk Management	Loss of Government funding.	Medium / Medium	- Loss of life - Loss of amenity - Financial impact	Resort Services Manager	Enhanced / cost effective revenue based maintenance programme to increase time frame for replacement. Alternate funding streams identified via DEFRA and Environment Agency. Medium Term Plan used effectively and in close liaison with EA Flood Risk Management Team. Position still the same.

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### Environmental Services Directorate Risk Register

Service: **AMENITIES, WASTE AND LEISURE**

Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
Minor Works Contract (Surveyors)	Not re-tendered on time (no contract).	Low / Low	<ul style="list-style-type: none"> <li>- Financial impact</li> <li>- Loss of service</li> <li>- Officer time</li> <li>- Administration increases</li> </ul>	Senior Building Surveyor	Tendering programme is currently on schedule.
Theatre (Resort services)	Contract not signed (current interim management).	Low / Low	<ul style="list-style-type: none"> <li>- Loss of service</li> <li>- Legal challenge</li> <li>- Reputation undermined</li> </ul>	Head of Service /Resort Services Manager/ politicians	Contract has now been signed by operator.
Leisure Services (Active Hastings)	<p>Risk of loss or reduction of external funding.</p> <p>Our failure to deliver as per external funding contractual agreements.</p> <p>Duty of Care to participants &amp; staff</p>	<p>Medium / Medium</p> <p>Low / High</p> <p>Low / High</p>	<ul style="list-style-type: none"> <li>- Loss or reduction of services</li> <li>- Failure to meet local need and public expectations</li> <li>- Claw back of external funding</li> <li>- Reputation undermined</li> <li>- Legal action</li> <li>- Overspend</li> <li>- Impact on safety of individuals</li> </ul>	<p>Service Manager</p> <p>Service Manager</p> <p>Service Manager</p>	<p>Active Women's bid has been successfully awarded to help extend Active Hastings programme. Play project funding application currently being developed. Working with In2play regarding Adventure Playground funding for 11/12.</p> <p>Regular monitoring and evaluation of projects which is formally fed back to principle funding partners every quarter. Regular liaison with funders. Review budgets regularly.</p> <p>Manual handling, child protection</p>

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Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
			<ul style="list-style-type: none"> <li>- Legal action</li> <li>- Reputation undermined</li> </ul>		and first aid courses successfully held for leisure staff during last quarter. Review of i) vehicle use, ii) risk assessments for interventions and iii) other essential staff training to be reviewed this quarter.
Cremation	Total failure to provide service / Limited capacity (equipment).	Medium / High	<ul style="list-style-type: none"> <li>- Loss of income</li> <li>- Health issue</li> <li>- Reputation undermined</li> </ul>	Amenities, Waste & Leisure Services. Peter Mead, Amenities Manager.	Arrangement in place with Eastbourne Crematorium to undertake cremations in the event of total loss of service. Cremators regularly maintained & maintenance contract in place. 2 relief cremator operators trained to provide sickness/absence cover and ability to run service in shifts at peak times of demand. More relief cremator operators being identified & trained. Severe weather contingencies in place to keep cemetery accessible in event of snow. Salt ordered and will be stored on site.
Waste	Unable to collect waste due to strike action, weather, problem with disposal route, staffing issue.	Medium / High	<ul style="list-style-type: none"> <li>- Piles of rubbish on street</li> <li>- Health risks</li> <li>- Financial impact</li> <li>- Reputation undermined</li> </ul>	Service manager	Strike Action: Veolia would seek to employ Agency staff and/or staff from other contract areas to cover Weather: Veolia's resources would be redeployed as necessary to clear collection vehicle access routes. Collections would then be made as soon as possible and within the same working week where practicable. Disposal Route Problems: If the



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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to mitigate risk, time frame for implementation and latest position</b>
					appraisals. - GM contracts monitored with specific arrangements for H&S reporting via monthly meetings.

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**Environmental Services Directorate Risk Register**

Service: **ENVIRONMENTAL HEALTH AND LICENSING**

Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
Environmental Health & Licensing	<p>Loss of corporate IT hardware due to fire, flooding, power outage etc.</p> <p>Council does not have a set of duplicate hardware, alternative power source or contract for emergency power generators.</p>	<p>Short term: Low / Low</p> <p>Medium term: Low / Medium</p>	<ul style="list-style-type: none"> <li>- Loss of access to data</li> <li>- Interruption to service delivery</li> </ul>	<p>Head of Environmental Health in relation to IT hardware used by his services &amp; their BCP arrangements.</p>	<p>Environmental Health &amp; Licensing team equipped with laptops so once IT established new temporary servers etc. they could operate reasonably well from back up on M3 system.</p> <p>Environmental Health &amp; Licensing have basic BCP arrangements in place.</p>
Licensing	<p>Reduction of income generation from economic downturn.</p>	<p>Low / Low</p>	<ul style="list-style-type: none"> <li>- Financial loss for Council</li> <li>- Unable to balance budget</li> <li>- Increased legal cost</li> <li>- Reputation undermined</li> </ul>	<p>Head of Environmental Health</p>	<p>Budget regularly monitored including income generation.</p> <p>If income dropped dramatically could reduce costs by decreasing staffing. In fact recession appears to be triggering more applications e.g. taxis.</p>
Environmental Health	<p>Failure of stray dog contract due to contractor going into administration.</p>	<p>Low / Medium</p>	<ul style="list-style-type: none"> <li>- Failure to meet statutory duty</li> <li>- Nowhere to put stray dogs</li> <li>- Impact on Police</li> <li>- Reputation</li> </ul>	<p>Head of Environmental Health</p>	<p>Recent financial checks carried out by finance showed satisfactory.</p>

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

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<b>Service</b>	<b>Potential Risk</b>	<b>Risk Rating (Likelihood / Impact)</b>	<b>Potential Impact</b>	<b>Responsibility for controls</b>	<b>Steps to mitigate risk, time frame for implementation and latest position</b>
Licensing			systems - Increase in accidents - Potential fatality - Increase in staff sickness - Picked up by national media if fatality occurs	Health	

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