

OPERATIONAL RISK REGISTER

January 2012

Corporate Resources Directorate

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 interest - Cost of borrowing	Low / High Low / Medium Medium / Low	- Now £14-22 million invested at any one time	Head of Financial Services	- Use of External Advisers - Sector - Ensure staff are well trained - Ensure adequate cover - Treasury Management Strategy that is regularly reviewed - Spread of investments
2	Finance	Cash collection contract - Firm collapses - Theft by company	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) in 2013/14.	High / High	- Budget deficits	- CMG - Head of Financial Services	- ongoing PIER process - Operational Board - Efficiencies - Medium Term Financial Strategy - Adequate Reserves/Resources
4	Finance	Uninsured properties / risks	Medium / Medium	- Properties not insured - Loss of money in the event of loss	Head of Financial Services	- Ensure thorough renewals process each year - Make sure we liaise with estates to ensure all properties are adequately insured
5	Finance	Income stream	Medium / High	- Budget deficit	- Head of Financial Services - 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

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						performance review
6	Finance	Business Continuity	Medium / High	- Payments, benefits, creditors & Treasury Management	- Head of Financial Services / Chief Accountant	- Try to ensure finance system meets changing needs of business - Ensure full staff complement - Business Continuity Plan in place
7	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
8	Finance	Changes in legislation	Medium / Medium	- Failure to produce accounts - Qualified by auditor - Staff time - Staff costs - Reputation undermined	- Head of Financial Services - Chief Accountant	- Regular liaison with our external auditors PKF - Train staff
9	Finance	Budget settings - No decisions - Late decisions - No processes	Low / Low	- Staff disenfranchised - Low morale - In fighting	- Head of Financial Services - 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

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

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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	- Head of Financial Services - Head of POD	- Keep staff motivated - Retain IIP status - Ensure knowledge shared within Team - Terms and Conditions
2	Estates	Fail to secure new occupier for St Mary in the Castle	High/High	- Building empty leading to increased costs - Loss of amenity to the town	Estates Manager	- Existing operator to continue until 31 August 2012 - Effective advertising
3	Estates	Increase in empty units / major tenant leaves	High / High	- Loss of rental income - Units handed back and difficult to re-let - Increased costs (rates)	Estates Manager	- Effective advertising - Continue with special measures - Maintain tenant relationships and get early warning
4	Estates	Failure to maintain assets	Low/High	- Properties fall into disrepair	Estates Manager	- Regular inspections - Adequate budget (R&R)
5	Estates	Properties not adequately insured	Low/Medium	- Council has to reinstate from own money	- Estates Manager - Head of Financial Services	- Complete revaluation of Council property and ensure regular checks on tenanted property
6	Estates	Environmental legislation	High/Medium	- Units with an	Estates	- Assess energy performance of our

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		introduced		energy rating of E or worse can't be let after 2018 - Cost as business rates could be linked to energy performance of buildings	Manager	buildings and improve where necessary
7	Estates	Lone working	Low/High	- Risk of injury	Estates Manager	- Risk assessed - Lone Worker Policy

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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
5	Revenues &	Effectiveness of Business	Medium/High	loss of staff	- Revs and	Key staff able to operate from home

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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
	Benefits	Continuity Plan		loss of IT systems loss of accommodation	Bens Service Manager - IT Manager	IT system backed up daily undertake IT Disaster Recovery mock- ups annually
6	Revenues & Benefits	Failure to recruit & retain staff	Medium/Medium	unable to meet demands/targets service delivery deteriorates low morale added pressure increased sickness increased costs	- Revs and Bens Manager - Head of POD	Managers to work closely with HR People Strategy Workforce planning
7	Revenues & Benefits	Impact of proposed changes to the Council Tax Benefit Scheme – especially if we don't properly implement it	High/Medium	Financial: Less expenditure. More council tax to collect. Collection fund Budget setting. IT systems: Replacement system not available on time.	- Revs and Bens Manager - Head of Financial Services	Work with colleagues in other Local Authorities Liaise with software suppliers Attend appropriate seminars/workshops
8	Revenues & Benefits	Impact on service delivery following opening of Corporate Contact Centre	Medium/Medium	Resources. Performance. Reputation.	- Revs and Bens Manager	Monitor carefully during transition period Continually review resource requirements Agree level of service with Contact Centre Manager and regularly review the service and training

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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
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
4	Procurement	Valid contract for Insurance on renewal fails for any reason	Low/High	- Reputation as council would have to cease all activities until insurance was in place	- Chief Auditor	- Action plan set out for all parties involved and progress monitored by the Chief Auditor

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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"> - Over payments - Staff not paid - NI / Tax not paid - surcharged - Services may have to close - Employment tribunal claims - Industrial action 	Head of Personnel and Organisational Development	<ul style="list-style-type: none"> - Managers trained on payroll process - Business Continuity Plan in place / reviewed
2	Personnel	Lack of effective organisational change	Medium / Medium	<ul style="list-style-type: none"> - Staff unable to deliver services due to lack of skills and knowledge - Organisation stagnates - No new initiatives / developments undertaken - Unable to manage more with less - Unable to deliver government / local leadership agenda - Loss of key staff - Increased sickness - Disengaged staff 	Head of Personnel and Organisational Development	<ul style="list-style-type: none"> - 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. - 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. - Workforce development plan enables us to meet our strategic objectives by identifying people management issues to be addressed over the medium term. - People strategy is overarching and outlines what an employee can expect from working with us.

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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
3	Personnel	Loss of key staff - Turnover - Redundancy/retirement - Re-structure (failure to take a strategic approach to workforce planning puts key services at risk)	High / High	- 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	Medium / 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 recruitment and	- 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, consultation and

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

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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	Failure of extension bid for Future Cities Project. Currently funds 1.6 fte of activity re Climate Change	Low/ Medium	- Opportunities missed - Impact on service delivery	- Head of Policy, Performance and Partnerships	- Cabinet have agreed to submit bid - Alternative consideration in 2012/13 budget round if bid fails (will be known by mid January 2012)
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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	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
6	PPP	Failure to effectively engage staff and community in decisions about reducing resources	Medium / Medium	<ul style="list-style-type: none"> - Reputation undermined - Staff dissatisfaction - Complaints 	- Chief Executive	<ul style="list-style-type: none"> - Staff Morale and Communicating Organisational Change Group established and addressing issues of engagement and communication. - Little Conversation underpins development of Corporate Plan and budget for 2012/13. - Equality Impact assessments undertaken to highlight issues and steps for mitigation before decisions taken

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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	- 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	- 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	- 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 & Democratic	Contracts – applying the law - non compliance with EU	Low / High	Financial – legal challenge from	- Borough Solicitor	- Professionally qualified staff subject to CPD.

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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
	Services	procurement rules		unsuccessful tenderers Reputational		<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - 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</p> <p>Statutory timetable and requirements not met.</p> <p>-.</p>	Medium / 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	<ul style="list-style-type: none"> - Professionally qualified and trained staff with regular skills and knowledge updating. - 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 Electoral Commission has been established. - Returning Officer and Deputies undertake training. - Making appointments for a full establishment
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	<ul style="list-style-type: none"> - Professionally trained staff with flexible approach. - Officers frequently chased and reminded about report deadlines.
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	<ul style="list-style-type: none"> - Democratic Services is a small team and all members have a mix of committee, member support and

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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: **FORESHORE TRUST (FT)**

	Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
1	FT	Corporate Governance non –compliance with articles of association or Charity Commission rules	Medium / High	Failure to deliver on priorities – reputational and financial Financial – legal challenge and costs of that	- Borough Solicitor	- Protector attendance at Charity Committee. - Providing legal advice as appropriate - Training for Charity Committee members - All on-going
2	FT	Charity Committee administration Statutory publication deadlines missed for agendas and the Forward Plan and meetings have to be cancelled delaying key decisions. Officers/Departments miss deadlines for reports.	Low / High	Legal Leaves HBC open to challenge, for example if Planning Applications are delayed or budget deadlines missed. Financial – costs of legal challenges. Reputational – High risk of bad media and public profile.	- Borough Solicitor	- Professionally trained staff with flexible approach. - Officers frequently chased and reminded about report deadlines.
3	FT	Income Loss of Visitors to Hastings e.g. Major Pollution incident, water quality, major disaster elsewhere in Hastings.	Medium / High	- Budget deficit - Loss of 6 months income would equate to around £½m	- Head of Financial Service - Chief Accountant	- ensure regular budget monitoring reports distributed followed up by meetings - report variances to Charity Committee so any budget deficits can be addressed - report variances at each meeting

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						- Maintain adequate Reserves
4	FT	Maintain Buildings and Infrastructure - Need for a long term repair and renewal programme	Low/Medium	- Build up of urgent and costly repairs (Planned maintenance reduces costs)	Building Services	Production, maintenance and regular review of repair and Renewal programme – based on regular inspection of assets. Ensure compliance of lease obligations Maintain and accumulate sufficient funds to finance agreed programme
5	FT	Unforeseen operational expenditure	Medium/High	- Reputation damage - Unable to meet commitments - Legal liabilities	Environmental Services	- Maintain adequate Reserves
6	FT	Treasury Management - cash flow - Loss of money/fraud/theft - Reduction of investment Interest - Cost of borrowing	Low/Medium Low / High Low / Low Low / Low	- Trust balances of £2m	Head of Financial Services	- Use of External Advisers - Sector - Ensure staff are well trained - Insurance cover in place for potential fraud and dishonesty and theft - Insurance cover in place for loss of Money - Maintain adequate Reserves
7	FT	Cash collection contract - Firm collapses - Theft by company	Low / Low low / Low	- Loss of money (up to £200k)	Head of Financial Services	- Continue daily monitoring of cash banked - Regular communication with supplier if the contract is not complied with - Insurance
8	FT	Uninsured properties / risks	Low / Medium	- Properties not insured - Loss of money in the event of uninsured loss	Head of Financial Services	- Ensure thorough renewals process each year - Make sure we liaise with estates/building services to ensure all properties are properly insured.
9	FT	Business Continuity	Low/ High	- Loss of Income,	- Head of	- Robust HBC financial systems

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				- Payments not made, - Treasury Management – financial loss	Financial Services /Chief Accountant	- HBC business continuity planning
10	FT	Loss of key staff	Low / Medium	- 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
11	FT	Changes in legislation - Financial accounts compliance with Charity SORP	Low / Medium	- Failure to produce accounts - Qualified by auditor - Staff time - Staff costs -Reputation undermined	- Head of Financial Services - Chief Accountant	- Work with Manningtons experienced firm - Regular liaison with HBC external auditors (PKF) and also Foreshore Trust auditors (Buzzacotts) - Train staff
12	FT	Budget settings - No decisions - Late decisions - No processes	Low / Medium	- Poor Financial Management -	- Head of Financial Services - Chief Accountant	- Ensure regular budget monitoring reports distributed. - Report variance reporting through performance review - Provide appropriate financial advice to members and officers - Consider Whole life costing of decisions/ projects - Consider Revenue Implications of new projects

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13	FT	External suppliers - Bankruptcy, Administration	Medium / High	- Depends which contract	- Chief Accountant	- Financial health checks on contracts
14	FT	Unsafe structures leading to Public Liability Claims e.g. injury on trust land	Medium/Medium	- Financial Loss - Reputation	- Resorts Services Manager	- Regular evidenced inspections carried out. - Proactive works maintenance programme carried out

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Environmental Services Directorate Risk Register

Service: **AMENITIES, RESORTS 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
Seafront Concrete Structures (Resort Services)	Extensive deterioration or collapse	Low / Med	Financial impact. Danger to public safety. Loss of amenity. Reputation undermined.	Head of Service / Resort Services Manager	Annual concrete inspections in place with programme of minor repairs. First phase of priority repairs completed December 2011
White Rock Theatre (Resort services)	Falling audience numbers.	Med/Med	Reputation undermined. HBC investment questioned.	Head of Service / Resort Services Manager / Politicians	Monthly review of activities, results and plans. Close liaison with new theatre manager. Hold regular contract monitoring meetings
Cliff Railways (Resort Services)	Failure to complete refurbishment contract satisfactorily because of dispute with consultant engineer.	Low / Low	Officer Time. Increased costs. Potential of additional loss of service if works delayed.	Service Manager	Resolution meeting held and timetable of actions agreed with consultant engineers. Priority items now resolved. Expect outstanding issues to be completed by end February 2012

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Museum (Resort Services)	Loss of exhibits due to theft, damage through fire, vandalism, alarm failure, staff failure.	Low / High	Financial loss. Loss of service (closure). Cultural loss. Reputation undermined.	Service manager	Recommendations of Security Reviews implemented. Alarm contracts maintained. Staff trained. Procedures manual updated. Disaster Plan update still outstanding – to be completed by end January 2012.
	Loss of service and/or reputation during Old Town Hall Museum operational review.	Low / Low	Loss of reputation. Cultural loss. Loss of service.	Museum Curator Head of Service / Resort Services Manager, Politicians.	Fire Risk Assessments completed. Security Audits to be reviewed. Regular review of arrangements and staff training has been implemented. Liaison through Museum Committee Programme of activities delivered successfully. Revamp of exhibition space completed. Research underway into feasibility of Trust status.
Flood Risk Management (Resort Services)	Loss of Government Funding	Medium / Medium	Loss of amenity & property Financial impact	Service 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.

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General – Leisure (Leisure Services)	Risk of loss or reduction of external funding.	Med / Med	Loss or reduction of services. Failure to meet local need and public expectations.	Service Manager	We continue to submit external funding applications for the leisure projects. A series of small grants have been awarded.
	Our failure to deliver as per external funding contractual agreements.	Low / High	Claw back of external funding. Reputation undermined. Legal action. Overspend.	Service Manager	Regular monitoring and evaluation of projects which is formally fed back to principle funding partners every quarter. Regular liaison with funders. Review budgets regularly.
	Duty of Care to participants & staff	Low / High	Impact on safety of individuals. Legal action. Reputation undermined.	Service Manager	Staff training regularly reviewed and refreshed (includes casuals).
Adventure Playground - Future (Leisure Services)	Failure to operate the Adventure Playground.	Low / Med	Loss or reduction of service. Failure to meet public expectations and demand. Reputation undermined.	Service Manager in partnership with In2Play.	Monthly meetings with In2Play are continuing in order to discuss updates regarding the APG Funding Plan. Funding now in place for the 11/12 financial year. Further funding continues to be sought for future years.
Grounds Maintenance Joint Procurement (Amenities)	Not achieving a joint procurement and associated savings.	Med/Med	If efficiencies not realised, HBC would revert to contract extension and independent tender.	Service Manager	Procurement to commence in January for Hastings BC/Rother DC joint contract and partnering agreement with Amicus Horizon for coordinated contracts and single contractor.

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Hastings Country Park - Car Parking Charges (Amenities)	Implementation delayed. Non-payment of parking charges due to perceived lack of effective enforcement.	Med/ Med	Loss of revenue.	Service Manager	Implemented 8th April. Reviews held as scheduled. First year income target not realised due to higher setup costs. Seeking agreement from Rother DC to issue a parking order on main car park to allow tighter enforcement. Target for agreement – April 2012.
Allotments Review (Amenities)	The introduction of new allotment agreements and rules is delayed by tenant opposition to proposals for changes in allotments management.	Med / Med	Rules against non- cultivation remain difficult to enforce, blocking the turnover of plots and therefore increasing the waiting lists.	Service Manager	Current consultation extended to 31 January 2012. Reassessment of plans following analysis of consultation results.

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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
Duty of care to the Public (All Services)	Child protection. Negligence in maintaining assets. Review of policies. Fully trained / competent staff. Fit for purpose design. Contractual requirements not met.	Med / Med	Injury Claims Financial impact Reputation undermined	Head of Service	All staff who have unsupervised access to children and vulnerable adults have advanced CRB check in place. Events/activities designed to minimise risk. Risk assessments & periodic system of inspection in place for all park sites and buildings. Legionella, fire and asbestos risk assessments & controls in place. Regular electrical inspections in place. Programme of asset maintenance work in place to maintain all assets. Ongoing programme of H&S training for staff identified through appraisals. GM contracts monitored with specific arrangements for H&S reporting via monthly meetings.

OPERATIONAL RISK REGISTER

January 2012

Environmental Services Directorate Risk Register

Service: **ENVIRONMENTAL HEALTH AND WASTE SERVICES**

Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
Cremation	Total failure to provide service / Limited capacity (equipment).	Low/High	Loss of income. Health issue. Reputation undermined.	Head of Environmental Health & Parking.	Arrangement in place with Eastbourne Crematorium to undertake cremations in the event of total loss of service. Cremators regularly maintained & maintenance contract in place. Relief cremator operators trained to provide sickness/absence cover and ability to run service in shifts at peak times of demand. New plant installed and operational – February 2011. Considered to be more reliable with excellent maintenance support services.
Waste	Unable to collect waste due to strike action, weather, problem with disposal route, staffing issue.	Low / High	- Piles of rubbish on street - Health risks - Financial impact - Reputation undermined	Head of Environmental Health & Parking	Strike Action: Veolia would seek to employ Agency staff and/or staff from other contract areas to cover, but as seen in the recent local government strikes Veolia's workforce did not strike. 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.

OPERATIONAL RISK REGISTER

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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
					Disposal Route Problems: If the usual disposal site is unavailable Veolia would deliver waste to another approved disposal site. Staffing issues: In the event of staffing problems Veolia would look to employ agency staff and/or staff from other contract areas.
Waste	Failure to procure new waste, recycling & cleansing services before existing contract expires in 2013	Low/ High	<ul style="list-style-type: none"> - Piles of rubbish on street - Health risks - Financial impact - Reputation undermined 	Head of Environmental Health & Parking	HBC is working with Rother, Wealden & Eastbourne on a joint procurement project for these services, All 4 partners have now signed the Inter Authority Agreement formally committing them to continue with this process, and the procurement process is well underway, with initial solutions due on 20 th January. In the very unlikely event that Hastings were to choose not to proceed in this way, we could still seek to negotiate an extension of the existing contract.
Licensing	Reduction of income generation from economic downturn.	Low / Low	<ul style="list-style-type: none"> - Financial loss for Council - Unable to balance budget - Increased legal cost - Reputation undermined 	Head of Environmental Health	Budget regularly monitored including income generation. If income dropped dramatically could reduce costs by decreasing staffing. In fact recession appears to be triggering more applications e.g. taxis.

OPERATIONAL RISK REGISTER

January 2012

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	Failure of stray dog contract due to contractor going into administration.	Low / Medium	<ul style="list-style-type: none"> - Failure to meet statutory duty - Nowhere to put stray dogs - Impact on Police - Reputation undermined - Cost and admin of providing an alternative service which is not budgeted for 	Head of Environmental Health	Recent financial checks carried out by finance showed satisfactory, & contract extended for a further 2 years ending 31 st March 2013.
Environmental Health & Waste	Legal challenge - Appeals against enforcement action i.e. judicial review, ombudsmen review - Lack of case law to back up new legislation and its interpretation	Low / Medium	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - Unable to deliver full service - Increase in complaints - Bad publicity locally 	Head of Environmental Health	Could use agency staff as a short term solution as there are many companies offering this specialist help albeit at relatively expensive rates compared with in-house staff.
Environmental Health & Waste	Partnership working e.g. police, trading standards, environment agency, HSE, PCT – partners	Medium / High	<ul style="list-style-type: none"> - Unable to achieve objectives - Unable to meet some 	Head of Environmental Health	Generally no sign of this arising except for in relation to the HBC CCTV Control Room where ESCC

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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
	withdraw or reduce commitment to projects or issues.		legal requirements i.e. timescales - Reputation of Council undermined		likely to withdraw much of funding as a result of terminating on street parking agency agreement. In this case a multi-agency working group with representation from HBC, ESCC & the Police has engaged a specialist consultant to develop options for sustaining the key services associated with the CCTV monitoring & Control Room in the future.

OPERATIONAL RISK REGISTER

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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
On Street Parking Enforcement Services	<p>As a result of ESCC having recently decided to terminate the parking agency agreement , & to deliver on street parking enforcement & the associated back office functions directly through the County Council & a contractor, HBC now faces 2 risks:-</p> <p>1) Loss of influence in relation to on street parking controls, & policy development & charging.</p> <p>2) Sustainability of the HBC off street parking enforcement service & associated services such as CCTV monitoring & the Control Room</p>	High / High	<ul style="list-style-type: none"> - Staff loss - Income loss - Loss of additional service to town (CCTV, quality of service, accountability) 	Director of Environmental Services & the Head of Environmental Health& Parking	<p>Discussions have commenced between senior management of ESCC and HBC in relation to the details of the termination process, and how it will affect the services & staff concerned. The formation of a local Parking management Board with HBC representation is being considered.</p> <p>A multi-agency working group with representation from HBC, ESCC & the Police has engaged a specialist consultant to develop options for sustaining the key services associated with the CCTV monitoring & Control Room.</p> <p>Discussions are also underway in relation to the potential for the Foreshore Trust car parks being converted to pay on exit, and the implications for the management of the remaining HBC car parks, which are to be reviewed.</p>
Underground car parks	Fire, explosion, flooding, structural failing, security, personal safety, third party equipment and	Medium / High	<ul style="list-style-type: none"> - Loss of life / property - Loss of income - Amenity loss 	Head of Environmental Health& parking	As a result of the fire in the Grand Parade Car Park last March the Executive Finance Manager has

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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
	equipment.		- Service loss - Reputation undermined	& the Parking Manager Executive Finance manager	reviewed the Council's insurance cover for such locations.

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January 2012

Regeneration, Homes and Communities Directorate

Service: **HOUSING**

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

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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
Housing (Renewal)	Failure to timely and effectively implement new policy initiatives (EG Additional Licensing, Local Space Project)	Medium/Medium	<ul style="list-style-type: none"> - reputation undermined - unmet targets - Impact upon staffing - Impact upon public health/wellbeing - legal challenge - financial cost 	Head of Housing Services Renewal Manager	<ul style="list-style-type: none"> - Effective project management - Project Team Meetings in place and minuted - Project team and communication plan in place - communication planning (website update) - regular review & progress monitoring (management team & briefings) - additional short term resourcing in place - effective budget planning
Housing (Options)	Failure to manage customer expectations	Low / Medium	<ul style="list-style-type: none"> - reputation undermined - disengagement & demoralisation of staff - customers dissatisfaction - legal challenges - adverse impact on partnership - cost 	Head of Housing Services Options 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 PRS accommodation - monitoring and review of statistics - Involve / empower customers - Regularly monitor customer satisfaction questionnaires, reporting at management meetings and take restorative steps where necessary if issue identified.
Housing (Renewal)	Failure to manage the implications of a loss of funding	Medium / Medium	<ul style="list-style-type: none"> - unmet targets - loss of capacity - reputation undermined - lack of equality of service - legal challenge - Reduction in performance - impact upon staff in 	Head of Housing Services Renewal Manager	<ul style="list-style-type: none"> - Explore alternative internal / external funding models (e.g. Local Space) - improve communications (e.g. Area Board meets, Landlords Forum, web site) - policy review / options (revised financial assistance & enforcement policy) - New Request for service delivery model in place - Renewal teams restructured,

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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"> - other departments - Increased homelessness - Poor housing stock - Impact on regeneration 		<ul style="list-style-type: none"> - New external adaptation support service in place
Housing	Ineffective service organisational re-structure and flexible working implementation	Medium/Medium	<ul style="list-style-type: none"> • Lack of information flow and poor decision making • Remoteness from operational activities • Uncertainty as to roles and duties • Decisions made at inappropriate level • Excessive bureaucracy • Poor performance 	<ul style="list-style-type: none"> • Head of Housing • All Managers 	<ul style="list-style-type: none"> • Clear understanding of roles and duties • Effective and timely Service Plans • Regular review at monthly Management Team meetings. • Flexible working practices documented, implemented and risk assessed • Training and development programmes • Regular team meetings
Housing	Health and Safety	Medium / High	<ul style="list-style-type: none"> • Accidents to staff resulting in time lost • Enforcement action by HSE against the Council • Civil action by employees against 	<ul style="list-style-type: none"> • 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

OPERATIONAL RISK REGISTER

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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
			the Council		Meetings <ul style="list-style-type: none"> • Regularly review at Team Meetings
Housing(Renewal)	Licensing – Insufficient HMOs licensed.	Low/High	<ul style="list-style-type: none"> • Targets not met • Financial burden on the organisation • Posts at risk • Increased risk of homelessness • Standards and management of HMOs decline 	<ul style="list-style-type: none"> • Head of Housing • Renewal Manager 	<ul style="list-style-type: none"> • Effective management of scheme • Incentivise return of licensing applications. • Contingency built into financial modelling • Systems and procedures in place ahead of implementation to ensure a quick start to the scheme • Training and development programmes • Proactive targeting of HMOs • Publicity plan and continue 'HMO Week' initiatives.

OPERATIONAL RISK REGISTER

January 2012

Regeneration, Homes and Communities Directorate

Service: **MARKETING AND COMMUNICATIONS**

Service	Potential Risk	Risk Rating (Likelihood / Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, time frame for implementation and latest position
Marketing & Communications	Failure of IT equipment	Low / High	- Very serious impact in short term for all services	IT Manager	- Alternative and backup services being provided, regular backup off-site of data. Servers now 'virtualised', and working towards dual Town Hall/Aquila capability
Marketing & Communications	Failure of Contact Centre project	Medium / High	- Reputation undermined - Impact on service delivery - Financial implications	Project Management team	- Project manager appointed - Regular project management meetings - Currently on budget, slightly behind schedule following decision to change Town Hall public contact arrangements following Cabinet meeting in September 2011. Physical work on new 'front office' in Town Hall due to start early 2012.
Marketing & Communications	Stade Project Not Delivered To Spec/Budget	Low / High	- Reputation undermined - Financial implications	Project Management team	- HBC elements of work completed ahead of original schedule, in March/May 2011, Jerwood Gallery work running some months late, due to open before Easter 2012. - Regular project and finance meetings took place throughout the project - Surface quality not to spec, further tests underway, and remedies being pursued - Substation problems have cost implications, considerable management time currently being devoted to these
Marketing & Communications	Seafood & Wine Festival Unsuccessful	Medium/Medium	- Reputation undermined	Head of Communications	- Regular officer and stakeholder meetings held

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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
			- Financial implications	& Marketing	- Risk assessment undertaken in conjunction with professional colleagues and emergency services
Marketing & Communications	Problems with Olympic Torch Relay Event	Low/High	- Massive adverse publicity - Potential injuries to spectators	Head of Comms & Marketing	- Working closely with LOCOG and Safety Advisory Group on all aspects of event - Regular meetings with emergency services, professional colleagues, voluntary groups - Professional event manager recruited on short term basis to assist HBC
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: **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. Error in making a Planning Decision	Low / Medium	<ul style="list-style-type: none"> - Financial implications – judicial review, legal cost & compensation - Reputation undermined 	Section Manager	<ul style="list-style-type: none"> - Procedures in place to monitor progress on a number of levels as applications progress. - Close supervision of staff by Senior Planners, the Development Control Manager and the Borough Planning Officer facilitated through casework meetings, one to one meetings and checking of delegated and committee reports. - Experienced and qualified staff and adequate capacity for the workload which exists at present.
Development Control	2. Lose Planning Appeal decision	Low/Medium	<ul style="list-style-type: none"> - Reputation undermined - If costs awarded maybe financial implications 	Section Manager	<ul style="list-style-type: none"> - Experienced and qualified staff that remain up to date with current guidance and policy through continuing professional development. - - Training for Planning Committee Members for understanding the consequences of refusing planning consent. A programme of training each quarter is in place.
Development Control	3. Error or delay in undertaking planning enforcement	Low/Medium	<ul style="list-style-type: none"> - Reputation undermined - financial compensation 	Senior Enforcement Office & Section Manager	<ul style="list-style-type: none"> - Procedures in place to record allegations and breaches of planning legislation. Those are investigated on a prioritised basis and the outcomes are recorded. - Experienced planning enforcement staff that are

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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"> - additional legal advice 		<ul style="list-style-type: none"> qualified to degree level in planning and related discipline and undertake continuing professional development. - Training in the Police and Criminal Evidence Act (PACE), the procedures required in law to pursue prosecution.
Conservation	4. Error in managing & processing Conservation Grant schemes	Low/Medium	<ul style="list-style-type: none"> - Financial implications - Reputation undermined 	Assistant Projects Manager	<ul style="list-style-type: none"> - 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. - Grant offers dependant on competitive tender submissions closely scrutinised by Council staff. - Close monitoring of progress of the work 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.

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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"> - 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 which is likely in 2014.
Development Control and Local Land Charges	5. Financial management – mislay incoming money	Low / Medium	<ul style="list-style-type: none"> - Financial implications - Pressure on resources trying to rectify situation - Reputation undermined 	Section Manager	<ul style="list-style-type: none"> - Corporate procedure to record incoming payments. - Above procedure regularly audited.
Development Control	6. Incorrect information comes from call centre	Low / Medium	<ul style="list-style-type: none"> - Impact on service delivery - Resources wasted - Reputation undermined - Possible 	Section Manager	<ul style="list-style-type: none"> - Detailed searchable ‘frequently asked questions’ database has been created. - New Contact Centre staff have one to one training as part of their induction on planning matters. There is a backup of staff members from the Development Control team to provide support and guidance. Development Control staff maintain a log of calls referred from the Contact Centre used by the Contact Centre

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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
			compensation		Manager in weekly training sessions.
Development Control, Local Land Charges and Planning Policy	7. Lack of staffing / financial resilience	Low / Medium	<ul style="list-style-type: none"> - Inability to do the work - Unacceptable deficit 	Head of Service and Section Managers	<ul style="list-style-type: none"> - Procedures review to ensure maximum efficiency. - In the event of under capacity, outside staff will be recruited. If over capacity occurs, redeployment of the workforce will be considered or a reduction in the workforce may be necessary. Currently no significant spare capacity exists.
Development Control and Local Land Charges	8. Loss of data / information	Low / High	<ul style="list-style-type: none"> - Impact on service delivery - Financial implications 	IT service and Section Managers	<ul style="list-style-type: none"> - Back-up of electronic data . - There is a separate set of documents scanned in on the UK Planning system which is held separately on a server in Glasgow. The older paper based records are stored at the Council's Archive and there is no separate comprehensive backup of these. However, all decision notices have been scanned and kept electronically. There are electronic copies of plans dating from 1948 to 1971. - Local Plan Charges register is partially electronic, but mainly records are paper based and contained at the Archive. It is possible to recreate these records from the original sources if the current set were lost.

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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"> - All significant planning material received from 2003 is held electronically and as part of a programme to destroy redundant archived paper copies a check is being made against electronic records to ensure any missing documents are scanned.
Development Control, Local Land Charges and Planning Policy	9. Injury of staff on site and in the work environment	Low / High	<ul style="list-style-type: none"> - Potential litigation - Financial implications - Impact on service delivery - Reputation undermined 	Section Managers and staff	<ul style="list-style-type: none"> - Corporate health and safety procedures are in place and followed. - Relevant training of staff is undertaken regularly including lone working etc. - Personal protection equipment is provided to staff. - Staff on site have mobile phones and are required to report their whereabouts. - Six monthly corporate health and safety reviews undertaken, appropriate adjustments made and documented.
Development Control and Local Land Charges	10. Loss of income due to changes in legislation and economy	Medium/High	<ul style="list-style-type: none"> - Financial implications - Pressure on resources trying to rectify situation 	Head of Service	<ul style="list-style-type: none"> - Close monitoring of performance undertaken by finance staff and reported to the Head of Service on a regular basis. - Measures are undertaken to respond to any significant variation of actual income to budget.

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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
Local Land Charges	11. Restitution as a result of legislative change	Low/Medium	- Financial implications	Section Manager	<ul style="list-style-type: none"> - Subject of current Court action as part of a Group Action involving all Local Authorities in England and Wales. - The Government has acknowledged the issues and have made a contribution to each local authority towards these costs. Close liaison continues with senior staff in the finance, legal and planning teams and with the Local Government Association.
Building Control delivered by the Rother and Hastings Building Control Service	12. Failure to deliver service	Low/High	Impact on service delivery - Financial implications	Head of Service	<ul style="list-style-type: none"> - Contract defines the procedures to change arrangements, if required, between the Rother DC and HBC Building Control partnership. - Service performance monitored through agreed Performance Indicators contained in the Contract.

OPERATIONAL RISK REGISTER

January 2012

REGENERATION AND COMMUNITY SERVICES – REGISTER OF KEY RISKS

Service	Potential Risk	Risk Rating (Likelihood/Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, timeframe for implementation and latest position
Regeneration and Community Services	Failure of programme	Medium/High	Financial and reputational loss	External Funding Manager	<p>Once the Programme Co-ordinator is recruited (Planned for January 2012), the Co-ordinator, the dedicated Finance Officer (John Hill) and the Internal Audit, under the guidance of the External Funding Manager will ensure that all programme requirements are complied with and on time.</p> <p>If a Programme Co-ordinator cannot be recruited in the short term, then the External Funding Manager will take responsibility and ensure that the returns etc. are completed properly.</p> <p>Major Modification to cover changes to budgets/delivery following Sea Space changes.</p> <p>HBRL and HBC to discuss shared costs prior to Major Modification.</p>
Regeneration and Community Services	Delays or failure of HBC project	Low / Medium	Delays could result in loss of grant funding	Economic Development & Inclusion Manager	<p>Major Modification process is opportunity to reprofile the budget</p> <p>Early studies is on target (final reports due January 2012). Launch conference and commissioning architects postponed to later in 2012</p>
Regeneration and Community Services	Withdrawal of another partner, or failure to deliver	Low / high	As with Sea Space risk, loss of contribution to shared costs	External Funding Manager	<p><i>Force majeure</i> issue. Partner Agreement provides for withdrawing partner to honour shared cost commitment.</p> <p>Partner Agreement drafted.</p>

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Service	Potential Risk	Risk Rating (Likelihood/Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, timeframe for implementation and latest position
Regeneration and Community Services	Having gained permission to bid, G4A application is turned down	Low/Low	Will have to substantially reduce planned programme of community arts outreach and activities on the Stade and launch programme. Will reduce available match for Interreg cultural bids.	Neighbourhood Manager	Application successful – awaiting formal grant offer of £150k
Regeneration and Community Services	FUTURE JOBS closure issues e.g. some expenditures deemed ineligible, eg allocation to an employee >£6,500	Low / Low	HBC will have to cover ineligible costs	Economic Development & Inclusion Manager	Final statement of Grant usage submitted November 2011, recoverable sum of unspent grant agreed with DWP and reimbursed.
Regeneration and Community Services	Failure to implement Local Area Management Plans	Low / medium	Loss of reputation	Neighbourhood teams	All four actions in place. Progress reports at each quarterly meeting of AMBs from January 2012 onwards.
Regeneration and Community Services	HVA service not working effectively with County wide service & thereby not meeting the	Low / Low	Reputational risk	Community Safety Manager	Service level agreement in place. Steering group established to monitor and advise on service. Awaiting 3 rd quarter performance report from contractor.

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Service	Potential Risk	Risk Rating (Likelihood/Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, timeframe for implementation and latest position
	expectations of Diverse Communities				
	Indicative offer of £963k is not converted into grant offer and we fail to secure the contract for the Hastings FLAG with the Marine Management Organization.	Medium / Medium	Reputational risk and loss of an important opportunity to improve sustainability of fishing industry in Hastings.	Neighbourhood Manager / External Funding Manager	Awaiting written confirmation from MMO. Launch scheduled for 14/1/2012
Regeneration and Community Services	Unachievable private sector match requirements	High / High	Financial loss – inability to draw down full grant	Neighbourhood Manager	<p>See above.</p> <p>Manage expenditure and contractual commitments to stay within grant amount that can be drawn down. Seek programme modifications if necessary once implementation underway. Secure new private sector partners.</p> <p>MMO is accountable body. Grant is drawn down in arrears, so no risk of clawback in the event of insufficient match.</p>
Regeneration and Community Services	Failure to meet contractual compliance requirements with ending of compliance post.	Low / medium	Reputational risk, loss of revenue, and breach of contract	External Funding Manager	Alternative compliance monitoring arrangements in place through flexible contract with external provider. Work monitored by Conservation officer.

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Service	Potential Risk	Risk Rating (Likelihood/Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, timeframe for implementation and latest position
	(THI now extended for 2 further years)				
Regeneration and Community Services	Lifecycle withdraw or Charity Committee opts for alternative option	Low / Low	Delay to medium term regeneration plans	Economic Development & Inclusion Manager	Charity Committee agreed Lifecycle proposal in December. Awaiting further detailed information from Lifecycle. Contingency plans in hand to seek other expressions of interest if lifecycle proposal fails to materialise.
Regeneration and Community Services	Cost overruns/delays to essential initial works	Low / Low	Reputational/financial risk	Economic Development & Inclusion Manager	Quotes to date within budget. Reduce specification if remaining quotes over budget Quotes for asbestos, clearance, drains, all within budget. Concrete survey report due.
Regeneration and Community Services	Cost overruns to grant-funded refurbishment works, or non-completion	Medium / Low	Lifecycle will face business risk of later opening. Low quality fit-out affecting long-term value	Economic Development & Inclusion Manager	Lifecycle underwriting cost overruns. Clerk of Works to be appointed to check completion and standards
Regeneration and Community Services	Failure to complete Urgent Works	Low/High	Financial loss	Head of Regeneration & Community Services	Complete/Enforce legal agreement with contractor. Close monitoring. 27/10/11: Legal agreement completed. Appt of Giffords to supervise work. Works undertaken, but some rectification required. HBC., Gifford and English Heritage officers engaging with contractor and closely monitoring work.

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Service	Potential Risk	Risk Rating (Likelihood/Impact)	Potential Impact	Responsibility for controls	Steps to mitigate risk, timeframe for implementation and latest position
Regeneration and Community Services	CPO process unsuccessful	Medium/High	Financial, reputational loss	Head of Regeneration & Community Services	Expert legal advice throughout pre-CPO and CPO process. Submission of robust statement of reasons. Repairs Notice served.
Regeneration and Community Services	HPWRT's Round 2 bid unsuccessful	Medium /High	Reputational, Financial	Head of Regeneration & Community Services	Officer support for HPWRT development work and bid. Ongoing regular meetings with HPWRT to monitor, advise and support. Intervention with HLF as appropriate. Enlist English Heritage support for bid. Defer making GVD until confirmation that Round 2 bid is successful. Awaiting outcome of milestone meeting between HPWRT and HLF later in January as to the status of HPWRT's development plans, which will inform timing of CPO process.

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