

Appendix A

Version 10 - Mar 20

			Likelihood (1,3,5)	Impact (1,3,5)	Rating	Contingency	Comments / Actions	Lead	Likelihood (1,3,5)	Impact (1,3,5)	Residual Rating
1	Major network attack	<ul style="list-style-type: none"> Shut down to counter attack Rebuilding due to successful attack Data / PC loss due to successful attack 	3	5	15	Contract for full range of backup support. Budget arrangements for emergency expenditure. Cheques can still be issued. Training and practical exercise undertaken regularly	Already many IT systems in place to prevent this. ICT have active antivirus and firewalling, including various security posturing. Continue with Essential Maintenance Plan. Disaster recovery contract to be regularly reviewed.	RV	3	5	15
2	IT Network failure	<ul style="list-style-type: none"> Loss of network storage No power Loss of communications / internet 	3	5	15	Contract for full range of backup support. Budget arrangements for emergency expenditure. Cheques can still be issued.	Well established back up. ICT BCP covers this risk. Possible "mechanical" in terms of main cable damage	RV	3	5	15
3	Significant contract falls to RDC	<ul style="list-style-type: none"> Staffing to manage transition Waste, Grounds Maintenance Financial Implications 	3	5	15	Rehearsed BCP Action Card with this scenario. Budget arrangements for managing this. Three authority BCP for Waste Collection contract	Review legal aspects. Create waste and street sweeping response plan. Consider other response plans. Separate Waste Contract Risk Register (MG). Three authority review needed.	JP	3	5	15
4	Data Loss	<ul style="list-style-type: none"> Service failure Financial damage Resources drained 	3	5	15	Back ups are maintained. Budget arrangements for managing this.		RV	3	5	15
5	Extreme Weather	<ul style="list-style-type: none"> Loss of frontline services Staff committed to emergency Staff unable to get to work 	3	5	15	Many staff live in Bexhill. Homeworking facilities. Guidance to staff in advance of weather warnings. RDC Emergency Plan. <u>Priority Grid for Service staffing</u>	Some experience here already. Prolonged extreme weather is the issue.	CC	3	3	9
6	National Fuel Shortage	<ul style="list-style-type: none"> Loss of main services Staff committed to emergency Travel problems 	3	5	15	Fuel priority grid including key staff & contractors. Homeworking facilities. <u>Priority Grid for Service staffing</u>	Communications Plan needed. Recent work on Brexit plans helps informs actions required of RDC.	CC	3	3	9
7	Significant loss of staff due to pandemic	<ul style="list-style-type: none"> 30%+ Flu etc. Across all services Particular note of cover for significant posts 	5	5	25	Contacts with local, national & professional agencies. Homeworking facilities. Immediate medical prevention supplies available. Priority list for staff vaccinations. <u>Priority Grid for Service staffing</u> . <u>Local Authority Duty to Co-operate</u>	Guidance to staff on precautions, minimise travel of travelling officers, hand cleansers at entrances to Council buildings	RV	5	3	15
8	Coastal / River Flooding	<ul style="list-style-type: none"> Major issues with transport Staff diverted to emergency Staff committed to recovery programme 	3	3	9	RDC Emergency Plan. Local Authority Duty to Co-operate. Rye Bay Flood Plan. <u>Flood network to cascade information</u>	More an Emergency plan than BCP issue. Could have an impact on transport. Social media alerts. Communication - PR implicit.	TL	3	3	9
9	Failure of a significant system supplier (e.g. Ocella)	<ul style="list-style-type: none"> Service Specific Unit4 Business World, Ocella, Academy, CRM, Whitespace, enterprise, M3 Customer Service 	3	3	9	Contingency for simple alternative e.g. Excel ESCROW agreements.	Neighbour council back up system or data transfer. Rights of user software. Contingency for alternatives. Web based systems need checking. System to be replaced if supplier no longer exists. Corporate direction - similar to Link data and voice, encourage use of county wide systems for the future/future purchase, which will reduce risk. ESCROW agreements will reduce impact.	RV	3	3	9
10	Significant Legal case against Council	<ul style="list-style-type: none"> Reputational damage Financial damage Resources drained 	3	3	9	Early Legal Service plan & advice. Budget arrangements for managing this.	Work to identify where service failure is in a legal case. Take steps to mitigate.	MJ	3	3	9
11	Breach of Data Protection	<ul style="list-style-type: none"> Reputational damage / legal Financial damage Resources drained Leakage / theft 	3	3	9	Regular training for staff. Learning from incidents. IT security measures. Data Risk log.	Reputational and significant financial risk under GDPR. Wider issue of Data Protection and consequences of data theft.	RV	3	3	9
12	Significant Financial investment loss by Council	<ul style="list-style-type: none"> Banks Staff committed to emergency Loss of income streams or assets 	3	5	15	Management approval of transactions. Compliance with Investment Strategy to spread the risk. Treasury advice. <u>Audit Service</u>		RV	1	5	5
13	Civil Unrest	<ul style="list-style-type: none"> Loss of staff Staff committed to emergency Staff unable to get to work 	1	5	5	Business Continuity Plan enacted	Very unlikely.	CC	1	5	5
14	Town Hall Fire / Flood	<ul style="list-style-type: none"> Loss of Accommodation Loss of IT Infrastructure Loss of IT desktops 	1	5	5	Homeworking facilities. Continued facility in Amherst Road. Reciprocal arrangement with neighbours. Local Authority Duty to co-operate	Consider neighbour council back up. Potential damage to infrastructure. Paper files vulnerable. ICT BCP covers this risk.	CC	1	5	5
15	Failure of the ESCC Pension Fund	<ul style="list-style-type: none"> Investment Failure Significant shortfall in funds Fraud 	1	5	5	ESCC Investment Panel operating within agreed investment strategy. Fund Managers adherence to their mandate. Ultimately Government Intervention/bailout.	New Governance arrangements brought in by Government in 2015. This adds a further layer of scrutiny over and above the Investment Panel and will examine the operation and performance of the fund.	RV	1	5	5

16	Safeguarding Children and Vulnerable Adults	<ul style="list-style-type: none"> ● Failure to identify child/adult at risk ● Failure to report to relevant agency when child/adult at risk identified ● Financial loss through legal compensation 	1	5	5	Staff training delivered and regularly updated. Clear and understood communication channel from officers to lead safeguarding officer.	Action plan in place to ensure robust procedures in place. New safeguarding policy adopted by Council. All relevant new staff receive training. Further training/awareness to be provided to staff over the next 12 months. Procedures in place in Housing Division to ensure where Police have been made aware of location of vulnerable family, this information is updated for any subsequent move.	CC	1	5	5
17	Fallout from Brexit	<ul style="list-style-type: none"> ● Financial market changes & instability ● European funding loss ● Investment uncertainty 	5	3	15	Financial advice to manage this as required. See separate detailed analysis of risks and mitigation plan.	Regular reviews of how Brexit affects Rother	RV	5	2	10
18	Major Incident requiring our staff to support it	<ul style="list-style-type: none"> ● Loss of staff ● Staff committed to emergency ● Staff committed to recovery programme 	3	3	9	Management approval of transactions. Insurance.	Directors to foster good relations and cooperation on these issues	TL	3	1	3
19	Major incident preventing travel	<ul style="list-style-type: none"> ● Loss of staff for more than one day ● Major incident blocking transport ● Major road closure 	1	5	5	Homeworking facilities. Potential to work from other authorities. Service priority grid. Protocol with staff on web message, website can be updated remotely.		CC	1	3	3
20	Financial shutdown RDC	<ul style="list-style-type: none"> ● Bank shutdown ● Loss of Income stream / assets ● Build up of backlog 	1	5	5	Rehearsed BCP Action Card with this scenario. Budget arrangements for managing this. three authority BCP for Waste.	Consider neighbour council back up. Hastings are able to provide back up and support so that cheques can be produced. Customer advice and information to be put on website and telephone systems. Cheques can still be produced.	RV	1	3	3
21	Terrorist Incident involving RDC	<ul style="list-style-type: none"> ● Impact on Public ● Impact on Staff ● Managing incident and recovery 	1	5	5	Monitoring intelligence. Liaison with Police.	Identify key staff & brief Ability to closely manage access to Council.	TL	1	3	3
22	Substantial / prolonged Electricity failure	<ul style="list-style-type: none"> ● Loss of frontline services & systems ● Staff committed to emergency ● Staff unable to get to work 	1	3	3	BCP Action card on loss of premises. Regular inspection and maintenance of electrical supply to Council buildings. Flexible working arrangements. Priority Grid for Service staffing.	Feasibility study on emergency generator provision.	JP	1	3	3
23	Buildings unavailable due to incident / accident	<ul style="list-style-type: none"> ● Loss of accommodation ● Buildings cordoned ● Structural Damage 	1	3	3	Homeworking facilities Reciprocal arrangement with neighbours.	Consider neighbour council back up. To give consideration to partners occupying the building. Homeworking, if kit taken home and is safely off site. Another building/area is required to work from?	CC	1	3	3
24	Significant & prolonged strike	<ul style="list-style-type: none"> ● Loss of staff ● Staff committed to cover ● Staff home commitments 	1	3	3	Liaison with Unison Ongoing work to achieve good industrial relations. 40% union membership (monitored).	Very unlikely, but could shift radically if membership of Unison increased.	CC	1	3	3
25	Significant facility falls to RDC	<ul style="list-style-type: none"> ● Staffing to manage transition ● De La Warr, museum, charity ● Staffing to manage recovery / maintenance 	3	1	3	Budget arrangements for managing this	Identify staff to manage the facility. Closure / Management Plan to be drawn up.	JP	3	1	3
26	Amherst Road Fire / Flood	<ul style="list-style-type: none"> ● Loss of accommodation ● Loss of IT equipment ● Loss of income 	1	3	3	Homeworking facilities Continued facility in Town Hall Reciprocal arrangement with neighbours Local Authority Duty to co-operate	Consider neighbour council back up. To give consideration to partners occupying the building. ICT BCP covers this risk.	CC	1	1	1
27	Significant Financial fraud against Council	<ul style="list-style-type: none"> ● Reputational damage ● Financial damage ● Resources drained 	1	3	3	Audit service Management approval of transactions Insurance	Review insurance cover. Audit Service highlights areas of risk. Fidelity guarantee insurance in place. Whistle blowing policy in place and staff reminded of its existence. Comms team to be informed if major fraud discovered to manage Press interest.	RV	1	1	1
28	Spending Review and Business Rate reset by Government	<ul style="list-style-type: none"> ● loss of grant income and share of business rates through changes in funding allocation mechanism 	3	3	9	Robust Financial Plan Use of reserves as short term support lobbying of MPs	Influencing government decisions as an individual Council unlikely to be successful. Support of LGA/ Rural Services Network to lobby on behalf of Districts more likely to have influence	RV	3	3	9
29	Property Investments	<ul style="list-style-type: none"> ● long term loss of tenants leading to loss of income. ● major structural failure of building not covered through insurance ● Restrictions imposed by Government on investment in commercial property 	1	3	3	Robust appraisal processes Active tenant management including regular assessment of financial stability Keep up to date with Government view on commercial property investment by Local Authorities Understanding of market for types of commercial property	The Council has a very thorough process in assessing property investments. Risks are minimised through use of professional advisors including valuation and surveyors. The risk around Government intervention is difficult to mitigate and if imposed may have implications beyond commercial property investments if borrowing is to be limited	BH	1	3	3
30	Delivering Savings and Income targets as set out in MTFP	<ul style="list-style-type: none"> ● failure to identify/deliver savings ● failure to identify/deliver source of additional income ● accelerated use of reserves ● emergency action required to balance budget 	3	3	9	Strong partnership between Members and Officers Dedicated resources to lead delivery of targets	It is likely that the Council will not achieve a balanced budget without taking some difficult decisions in terms of service provision. This requires a strong partnership between Members and Officers to achieve.	RV	3	3	9
31	Loss of staff and recruitment	<ul style="list-style-type: none"> ● loss of key staff due to redundancies and financial uncertainty ● difficulties in recruiting to key posts 	5	3	15	alternative ways of working, greater flexibility where possible greater use of technology		CC	3	3	9

32	Knowledge management on staff exit	<ul style="list-style-type: none"> ●loss of knowledge to perform prime functions ●unique roles not carried forward by the organisation 	5	3	15	Exit process to include full role analysis and capture of unique duties/knowledge	Identify staff to be knowledge recipient for each existing member of staff	CC	1	3	3
33	Major Projects	<ul style="list-style-type: none"> ●failure to deliver major project ●financial loss ●service failure ●reputational damage 	2	3	6	Adequate project resources project managers support management practices in securing external funding	capable training and Robust risk unsuccessful The Council has a number of major projects to deliver including new leisure centre, new housing and new commercial properties. It is well placed with experienced and trained officers in place, but there is a risk to project delivery if those resources are no longer available. The projects are also at risk if the Council is unsuccessful in securing external funding to make them financially viable.	CC	1	3	3