Corporate Risk Register - January 2023   Appendix A

No.	Category	Risk Description	Effect	Resulting In	Caused By	Mitigations and Controls	Mitigated Risk Likelihood	Impact	Score	This Review	Actions/Comments	Target Score	Next Review	Owner
#	Risk category	Situation or event (real or perceived) that exposes us to risk	The negative impact. How big? How bad? How much? Consider worst likely scenario	What wider impacts may the risk effect have?	Circumstances that could lead to the risk being realised	Controls and other mitigations already in place	1-5 (refer to Risk Scoring Matrix)	1-5 (refer to Risk Scoring Matrix)	Likelihood x Impact	Date	Further action required to reduce risk	Max. risk appetite score	Date	Person managing risk
1	Political	Political changes impact delivery of Council services	Negative impact on finances and increased demand for services such as housing benefits	Less money to deliver services and lessening quality of services	● Changing government policy ● Government spending review ● Business Rate reset	● Medium term financial plan well developed and regularly reviewed ● Use of reserves as short term financial support ● Regular budget/financial updates to Members ● Senior officer involvement with national bodies (e.g. LGA, Rural Services Network, Solace) ● Regular meetings with/lobbying of MPs	4	4	16	17-Feb-23	● Ongoing focus on delivery of Financial Stability Programme to ensure delivery of programme objectives ● Ensure 'horizon scanning' continues through involvement in national bodies ● The support of the LGA/Rural Services Network can play an important role in lobbying the goverment on behalf of district.councils.	10	17-May-23	MJ
2	Social	The Council cannot meet its housing objectives: 1) supply of affordable houses 2) housing list reduction 3) five-year housing supply	● Increased levels of homelessness ● Increased TA cost ● Pressure from partner agencies to provide housing	● Significant revenue costs in TA ● Reputational damage	● Rising cost of living, house prices & rent costs ● National & local planning policy ● Southern Housing (LSVT) failing to build new housing locally, relative to neighbouring areas ● AONB and lack of viable land for development ● Local resistance to development ● Lack of resources to effectively prevent homelessness NB - Many of the causes of this risk are outside LA control and we may have to accept some increase in costs.	● Rother Tenant Finder (RTF) ● TA investment and Temporary Accommodation Support Scheme (TASS) ● Housing First and RSI ● CIL review ● Competent managers	4	4	16	19-Jan-23	● Prepare an ITS business case to expand the-TASS ● Deliver exapnded RTF following authorised investment from SLT ● Continue service improvement through delivery of the Service Plan	10	19-Apr-23	JP
3	Technology	IT Failure	Failure to deliver (all) services	● Long term failure ● Significant financial loss ● Rebuilding due to successful attack	● Successful cyber attack - user error/lapse - failure of defences ● Infrastructure failure - power outage - flooding - fire - hardware issues ● Understaffing IT department	● Key services now managed in the cloud ● Active antivirus protection ● Secure configuration, threat monitoring and vulnerability testing ● Data backups are maintained ● Robust patching schedule	3	5	15	7-Feb-23	● Regular phishing awareness training ● Confirm budget arrangements for emergency expenditure	10	7-May-23	GM
4	Economic/ Financial	Failure to operate within a sustainable budget	Failure to deliver corporate objectives	● Service cuts ● Compulsory redundancies ● Reputational damage ● Section 114 Notice (if all else fails)	● Failure to achieve savings/income targets ● Reduction in business rates income ● Budgets being exceeded and inadequate reserves	● Strong partnership between Members and Officers ● Regular monitoring of the Medium Term Financial Plan (MTFP) ● Reporting on performance against targets ● Dedicated resources to lead delivery of targets ● Quarterly bubdget monitoring	3	4	12	18-Jan-23	● Actively manage and monitor delivery of the Financial Stability Programme (FSP) ● Continue regular monitoring reports to SLT/CMT ● Quarterly budget monitoring reports ● Respond to central governemnt re Settlement consultation	16	18-Jul-23	DE
5	Project/ Programme	Project delivery compromised	● Project failures or inadequate delivery to budget, deadlines or specifications ● Failure to secure external funding to make project financially viable	● Significant financial loss ● Reputational damage ● Loss of, or inadequate return on, investment	● Strain on resources from competing priorities ● Staff turnover/loss of knowledge ● Lessons not learned from previous projects ● Scope creep ● Inadequate project governance ● High risk appetite within Corporate Plan	● Adequate project resources ● Capable project managers ● Training and support ● Robust risk management practices	2 Was 3	4	8 Was 12	6-Mar-23	Continue to ensure that the business case for each project is robust prior to approval	16	6-Sep-23	BH
6	Partnership/ Contractual	Significant service contract falls to RDC - e.g. Waste and Street Sweeping, Grounds Maintenance, Leisure Centres, toilet cleaning etc.	● Pressure on staff to manage the transition ● Lack of staff to do the work in-house ● Lack of skills & knowledge ● Lack of equipment/vehicles ● Poor quality of service	● Financial Implications ● Major service disruption ● Reputational damage ● Inability to meet regulatory & statutory requirements	● Contractor failure due to financial issues and lack of staff ● Changes in government regulatory requirements ● Lack of BCP ● Lack of contract partnership management and support (Waste Contract & Grounds Maintenance)	● Close working relationship with contractor and regular operational meetings ● Rehearsed BCP Action Card with this scenario ● Three authority BCP for Waste Collection contract ● Separate Waste Contract Risk Register (MG)	2	5	10	3-Feb-23	● Review legal aspects ● Create waste and street sweeping response plan ● Consider other response plans ● Three authority review needed -budget arrangements for managing financial cost? ● Open book accounting review? ● Service risk register in place for each contractor?	10	3-Aug-23	DK
7	Legal/ Compliance	Breach of Data Protection	● Reputational damage/legal ● Financial damage ● Resources drained ● Leakage/theft	Wider issue of Data Protection and consequences of data theft	● Cyber attack/Ransomware ● Internal breach	● Regular training for staff ● Learning from incidents ● IT security measures ● Data Risk log	3	3	9	7-Feb-23	Targeted training	10	7-Aug-23	GM
8	Legal/ Compliance	Significant legal case against the Council	● Resources drained ● Project delays ● Corporate objectives not met	● Financial damage ● Reputational damage	● Failure to follow process and procedures ● Failure to update policy to reflect legislative changes	● Early Legal Service plan & advice ● Budget arrangements for managing this ● Horizon Scanning and training to understand new duties and requirements	2 Was 3	3	6 Was 9	2-Feb-23	● Work to Identify where service failure is in a legal case ● Take steps to mitigate. Is it covered by liability insurances?	10	2-Aug-23	LF

No	Category	Risk					L	I	Score	Date	Actions	Target	Date	Owner
9	People	Lack of quality/quantity of staff to deliver services	● Difficulties in recruiting key posts ● Lack of professional skills ● Financial impact - recruiting is expensive	● Service failure or lower quality ● Higher cost ● Legal liability ● Stress on existing/remaining staff ● Reduction in staff wellbeing ● Loss of knowledge	● Skills shortage ● Staff turnover - competing on both salary and wider location within LA sector and private sector ● Lack of workforce plan	● Allow staff greater flexibility where possible ● Remote working facilities ● Use of agencies/outsourcing companies ● Exit process to include full role analysis and capture of unique duties/knowledge	3	3	9	22-Feb-22	● Produce workforce plan ● Regular review of well being policies ● Regular attendance at HR Officers countywide group ● Participation in surveys with SEEMP and LGA ● Participation in local data capture events ● Investment in training, both professional and general	10	22-Aug-23	MB
10	People	Significant loss of staff due to pandemic	● 30%+ ● Flu etc. ● Across all services ● Particular note of cover for significant posts	● Unavailability of staff ● Reduction in service provision	● Staff absence through illness ● Travel/access restrictions	● Contacts with local, national & professional agencies ● Homeworking facilities ● Immediate medical prevention supplies available ● Priority list for staff vaccinations ● Priority Grid for Service staffing ● Local Authority duty to cooperate	3	3	9	17-Feb-23	● Guidance to staff on precautions ● Minimise travel of travelling officers ● Hand cleansers at entrances to Council buildings ● Close receptions ● Comms plan ● Move to online meetings only (subject to legislation for committees).	10	17-Aug-23	MJ
11	Political	National fuel shortage	● Loss of main services ● Staff committed to emergency ● Travel problems	● Staff unable to travel to work ● Contractors unable to provide key sevices (e.g. refuse collection)	● Fuel distribution problems ● Conflicts abroad	● Fuel priority grid including key staff & contractors ● Homeworking facilities ● Priority grid for Service staffing	2 Was 4	3	6 Was 8	6-Mar-23	● Communications Plan needed ● Recent work on Brexit plans helps informs actions required of RDC	10	6-Sep-23	BH
12	Environmental/ Climate Change	Coastal/river flooding	● Loss of office accomodation ● Major issues with transport ● Staff diverted to emergency ● Staff committed to recovery programme	● BCP issue for services such as waste, car parking and coastal management (beach management) ● Cessation of visiting officers travel ● Could have an impact on transport	Extreme weather	● RDC Emergency Plan ● Local Authority duty to cooperate ● Existing flood plans ● Flood network to cascade information ● BCP plan for affected services. ● Membership of East Sussex Emergency Planning Partnership and Sussex Resilience Forum	2	3	6	6-Mar-23	● Social media alerts ● Communication - PR implicit ● Manage impact of staff reallocation to rest facilities	4	6-Sep-23	BH
13	Environmental/ Climate Change	The intended outcomes from the RDC 2030 net zero target will not be achieved.	Reputation damage (part of bigger issue of not doing our part)	● Lack of trust in Council ● Disenfranchisement ● Lower community morale	● Lack of plan with achievable, measurable outcomes. ● Current outcomes are unachievable - in part because of unclear goals and pathway forward	Corporate Plan milestones	3 Was 2	3	9 Was 6	6-Mar-23	Ensure regular reporting of Corporate Plan and other milestones to Members	4	6-Sep-23	BH
14	Partnership/ Contractual	Failure of a neighbouring authority or other partner	● Impact on RDC services including shared services ● Financial loss ● Service failure - shared services ● Reputational damage	● Inability to provide services ● Reduction in service quality	● Inability of residents to access advice services ● Reduced availaibility of specialist advice to the Council	● SLAs to set out process in the event of partner failure ● Quantify the impact on individual shared services ● Access to software and assets	2	3	6	17-Feb-23	● The Council has a number of key partnerships including shared services. ● For shared services where the Council in not the lead authority need to ensure the inter-authority agreement sets out the process/deliverables in the event of a partner failure. This would need to include access to software and assets as well as staffing.	10	17-Aug-23	MJ
15	Partnership/ Contractual	Failure of a significant system supplier	● Service Specific ● Unit4 Business World, Ocella, Academy, CRM, Whitespace ● Customer Service	● Impact on business continuity ● Reduction in service quality	● Poor relationship management with suppliers ● Essential system improvements delayed/not possible ● Supplier goes out of business	● Contingency for simple alternative e.g. Excel ● ESCROW agreements	2	3	6	2-Feb-23	● Consider 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 short term impact	10	2-Aug-23	LF
16	Economic/ Financial	Financial shutdown of RDC	● Bank shutdown ● Loss of Income stream/assets ● Build up of backlog	● Impact on payments to suppliers and residents ● Increase in the amount needed to be drawn down from Reserves to fund costs	● Adverse weather conditions ● Software failures ● Hackers	● Rehearsed BCP Action Card with this scenario ● Budget arrangements for managing this ● Three authority BCP for Waste	1	3	3	18-Jan-23	● 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	4	18-Jul-23	DE

Risk Scoring Matrix

Likelihood	Impact				
	Minimal (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	5	10	15	20	25
Likely (4)	4	8	12	16	20
Possible (3)	3	6	9	12	15
Unlikely (2)	2	4	6	8	10
Rare (1)	1	2	3	4	5