CORPORATE RISK REGISTER

Risks that could influence the successful achievement of our long-term core purpose, priorities, and outcomes. These are:

1. Risks that could potentially have a council- wide impact and/ or
2. Risks that cannot be managed solely at a Service Area Level because higher level support or intervention is needed.

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 1- A	All Directorates	Financial Resilience	Failure to maintain a robust and deliverable budget will lead to a lack of resources to fund services and council priorities, leading to reactive decision making and reputational consequences. Failure to maximise efficient use of resources and so unsuccessful redirection of resources and not achieving objectives and outcomes of the Council. Failure to exploit income streams/ income generating activities/ commercial opportunities. Increased inflation caused by utilities and supply contracts leading to significantly increased, unbudgeted costs.	Unpredictable Government Policy (e.g. Brexit and localisation of business rates). Reduction in government grants and external funding. Ineffective financial/ budget management and monitoring. Increased cost of building/ construction and maintenance. The outcome of the National Pay Negotiations/ Award.	Non- achievement of corporate priorities. Budget deficit. Forced to make savings leading to a reduction in the quality-of-service delivery. Increased costs and lower returns on investments. Minimal return from income generating activities/ commercial opportunities. Further pressure on demand led services e.g. benefits, homelessness etc. Reduction or delays in housebuilding and maintenance of corporate/ commercial buildings. Significant pressure on contracts, staff and projects.	Carolin Martlew

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
12 (3x4)	Medium Term Financial Strategy (MTFS) regularly reviewed and reported to Members at the Policy & Finance Committee. Annual budget setting and quarterly budget monitoring of income and capital and revenue expenditure. Capital Strategy 2021/22- 2023/24 reviewed annually. Continue to maximise Council tax increases. Control of expenditure- Approval limits and routes for additional funding are detailed in the Council's Constitution and Financial Regulations.	8 (2x4)	Develop an Income Generating Strategy to guide the Council's income generating activity and investments.

	Zero based budgeting exercise. Monitoring of potential changes to government policy, legislation etc. Sufficient reserves.	

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR1 - B	Finance/Housing	Balance of Housing Revenue Account	Service management and national pressures reduce income and increase costs leading to a potential HRA deficit by end March 2023 to be mitigated by approval of changes in capital financing.	Current financial climate. Increase in costs. Significant predicted overspends on planned and responsive repairs contract and Supervision and Management in current year. Increase in cost of Housing ICT/transformation project. Prior year's overspends on reactive maintenance.	Without mitigation HRA balance at critical level resulting in potential failure of service. Financial loss to the Council. Increase in enforcement actions. Increase in homelessness.	Carolin Martlew/Philippa Dart

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
16 (4x4)	Contract Management. Zero based budgeting exercise now complete to produce a Budget for 2023/24. Budget monitoring. Review of significant items for Budget 2022/23. Review of Capitalisation Policy. Review of Borrowing Strategy.	12 (3x4)	Changes to budget to be considered at Policy and Finance Committee on 13 December 2022 and if appropriate approval by Full Council on 18 January 2023. Service led recovery plan. Set up regular and dedicated supervision for income recovery with officers to ensure that cases are progressed in a timely manner. Use data analysis more effectively to identify cases for next stage recovery action/ more specific intensive recovery action.

Review of Repairs Contract.	Regular case reviews with specialist Housing Officers.
Close adherence to rent arrears policy and procedures.	
Ensure officers understand the impact of timely intervention.	
Staff training.	
Debt advice- dedicated officer.	
Good communication with tenants.	
Specialist IT software.	

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 2	All Directorates	Organisational capacity to deliver.	Lack of resilience in the existing staff structure, so do not have the necessary number of staff with the right skills to deliver services and the Council's priorities. Inability to meet the expectations of service users due to organisational capacity. Inability to attract and retain suitably skilled staff.	Uncompetitive salaries offered for certain positions/ professions. A comprehensive job profiling process that does not recognise external market forces and is resource intensive. Uncertainty around future home working arrangements. Limited scope for career progression can reduce the retention of talented staff. Inadequate training/ handover. Failure to recruit and retain talented staff. Lack of prioritisation of key workstreams. Impact and potential future impact of the coronavirus pandemic.	Non- achievement of corporate priorities. Loss of staff with essential knowledge and experience. Service disruption leading to a loss of productivity- whilst new starters/replacements are recruited and trained. Service performance and staff health and welfare could be compromised due to high attrition rates. Increased staff sickness. Increased costs of recruitment. High turnover. Hybrid/ remote working- positive or negative impact not yet fully known. This depends on the demographic, research to date points to flexibility being attractive. Over reliance on agency workers.	James Hassett

| | | | | Skills shortage externally – this is not Arun specific impacting Arun's ability to recruit.

Local government – attractiveness/ age profile implications (approx. 60- 70% of staff over 40).

Image of Local Government- increased by the media presenting a negative image of the public sector.

Negative social media compounds the negativity related to the Council in general. | Stress can be more hidden when staff are working from home/ adopting the hybrid mode.

Reduced sickness rates have been recorded whilst staff have been working from home.

Inability to respond to additional priorities or emergency situations. | |

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
16 (4x4)	The Council's performance appraisal process identifies individual training requirements and individual objectives linked to service delivery plans. Utilisation of secondment opportunities to benefit from existing skills and develop individual staff. Investment in development of staff via the corporate training budget. Adequate notice periods built into posts. Staff sickness monitoring and reporting undertaken. The use of market supplements and other recruitment and retention payments to attract applicants to vacancies and retain staff. Job profiling is used to determine grades. Pay comparison/ benchmarking exercise with other Local Authorities is regularly undertaken. Lead specialist appointed to help develop the Council's operating model.	12 (4x3)	To review recruitment and retention initiatives to attract and retain appropriately skilled staff. Identify a specific training plan for all management tiers to cover business and management processes (for example, including Risk Management, the Constitution, Committee Structure/ Committee Reports and Budget management/ monitoring. Undertake regular staff engagement surveys. Annual workforce/ resource planning in conjunction with the zero- based budgeting process. Aids the alignment of Corporate, directorate and service area priorities. Operating Model/ Workforce Strategy/ Service reviews to align resources with new Council Vision. Review of job profiling and current reward strategy.

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 3	All Directorates	Change Management & Transformation	Lack of a corporate operating model and a clear plan to achieve this. Failure to maintain business as usual (BAU)/ appropriate levels of service at the same time as transformation. Failure to implement change programmes within timescales and at the desired pace. Failure to deliver service improvement, efficiencies and/ or savings. Lack of financial resource to deliver programmes. Inability to re- engineer processes and systems so that they are fit for a lean and transformed council. Inability to secure cultural changes and engagement. Lack of engagement and understanding of objectives by staff and contractors. Lack of engagement and support for objectives by members.	Insufficient knowledge, skills, and resources to facilitate change. Insufficient management information to properly model proposed changes and impacts. Services unable to provide the required level of input. Key suppliers/ existing contractual arrangements do not enable or support transformation plans. Ineffective communication and engagement. An unstable, demotivated workforce at a time of change. Unmanageable workloads resulting in unsustainable pressure on existing staff. Political uncertainty as we approach full local elections.	Unachieved strategic and operational objectives and/ or overruns on time and cost. Poor standards of service or disruption to service. Staff experience stress related health issues. Reputational damage. Services that do not meet the needs of the community. Services that are not delivered in a modern and cost-effective way.	James Hassett

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
16 (4x4)	Project management processes and governance in place to monitor project delivery. Utilisation of secondment opportunities to benefit from existing skills in project management. Frequent budget monitoring and the implementation of zero- based budgeting. Effective procurement and contracting processes in place. Process for key risks identified and monitored for major projects. Service performance monitoring (KPIs) and management processes in place. Lead specialist appointed to help develop the Council's operating model.	9 (3x3)	The development of an Operating Model/ Workforce Strategy and Service reviews need to align resources with new Council Vision. Develop a transformation programme including processes to ensure: - The right staff with the right knowledge, skills and competencies are in place and retained for the delivery of Business As Usual (BAU) and effective transformation. - Appropriate/ sufficient levels of staffing within individual projects in place to sustain BAU and to deliver transformation. - Clear roles and responsibilities defined between transformation and BAU. - Scrutiny of transformational programme through monthly Programme Boards. - Early warning signs of areas where efficiencies/ savings will not be realised (either amount or on time). - An effective communication and engagement plan is in place with stakeholders. - Effective commissioning of high- quality services. - Early identification of resource gaps and/ or redundancy costs for inclusion in project plans at an early stage. - Management of stakeholder expectations (Customer/ resident expectations vs Council's delivery model.

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 4	All Directorates	ICT	1. Loss of technology, data, and communications; through major cyber compromise. ██████████████ Detection and containment delays may mean increased damage and increased data loss.	Cyber-attack.	Loss of all ICT facilities including back-office systems, telephony, printing, public facing systems, and laptops. Major risk of data loss and data breaches. Significant disruption of service (no IT) to all staff & customers (2 to 6-month phased recovery), could be longer without 24/7 working. Initial outlay for new IT equipment (£m's) and loss of income / additional organisational costs may <u>not</u> be recoverable via insurance (est. £10m).	Jackie Follis

			■■■■■■■■■■ A national attack will mean access to cyber experts and other government agency help may not be available.		Each day of downtime = c£90k loss of productivity.	
			2. Loss of technology, data, and communications; through major outage of datacentre, or integral infrastructure component failure. ■■■■■■■■■	Physical or technical failure (e.g. fire, flood, hardware or communications failure).	Loss of some / all ICT facilities including back-office systems, public facing systems, telephony, and printing. Limited risk of data loss, laptops would still work outside of council premises although with reduced facilities. Potentially a significant disruption of service (no IT) to all staff & customers (5 to 28-day phased recovery), could be longer without 24/7 working. Initial outlay for new IT equipment (£m's) and loss of income / additional organisational costs but may be recoverable via insurance. Each day of downtime = c£90k loss of productivity.	Jackie Follis
			3. Lack of sufficiently skilled staff to run and support the technical estate / specialist areas including software, hardware, communications, systems, and cyber security (and any recovery actions).	Pandemic or major incident affecting ICT staff in one location (i.e. loss of all staff).	Increasing degradation of operational services through to potential complete loss of all service, delays in resolution and recovery. Increased cyber risks.	Jackie Follis

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
16 **(4x4)**	1. Cyber protection layers, ██████████████████ ████ advance notifications and warnings, cyber training, staff security policy, staff awareness training, and cyber response plan. ████████████████████ ██ ████████████████ █████████████████ ██████████ Services should have a BCP in place including scenarios for extended period of no ICT. ████████████████████ ██████████	**12** **(3x4)**	The impact has a major significance for this risk as it would stop almost all services the council provides for up to 6 months and could cost millions in unrecoverable costs. Reducing the likelihood or impact by any amount even if only enough to reduce by a point factor would be worthwhile. New post of IT Security Officer to focus on protect and recovery. █████████████████████████ ██████████████████ █████████████ ███████████████████████ █████████
12 **(3x4)**	2. Key component redundancy by design, immutable / off-site backups (for recovery), a limited capacity recovery site, cloud services, laptops as standard issue, website hosted externally, insurance cover for IT equipment. ███████████████ Accept recovery times may be extended. Services should have a BCP in place including scenarios for extended periods of no ICT.	**6** **(2x3)**	Increase DR site capacity including faster recovery capability. ████████████████████████
6 **(2x3)**	3. Where feasible cross-over training / documentation undertaken, however with specialist skill sets and knowledge not always possible.	**4** **(2x2)**	Accept risk of losing all staff.

Have staff working in different locations / shifts but accept limited mitigation where a major incident affects ICT staff in one location.		

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 5	All Directorates	Corporate Business Continuity	Failure in the delivery of some or all services, including statutory services.	Loss of buildings/ infrastructure through fire, flooding, or other serious environmental incident possibly because of climate change. Sudden loss of key personnel or mass loss of staff through illness e.g., pandemic. Industrial action. Breakdown in supply chain. Loss of power or other services. Significant ransomware or cyber-attacks. **(See separate risk # CRR 4).**	Inability to provide a range of key services to customers, including vulnerable customers. Financial loss and service disruption to customers and the Council. In ability to pay customers or contractors leading to loss of contractors/ suppliers reducing service provision. Inability to provide services leading to reputational damage. Possible breach of the Council's statutory duties under the Civil Contingencies Act.	Philippa Dart

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
12 (3x4)	Corporate Business Continuity Plan identifying critical activities and recovery time objectives for identified priority services. Service Business Impact Analysis (BIA) and Business Continuity Plans (BCPs) reviewed and updated to identify critical service and IT requirements. BIA and BCP to be reviewed and updated annually, and when a change of service	9 (3x3)	Seek support from insurers or others to carry out an exercise to test BCP arrangements with an emphasis on recovery period with no reliance on IT for a minimum period to be specified. Continue a testing programme for BCPs to ensure they are fit for purpose. Outcomes of the reviews and lessons learnt should be used for continuous improvement.

occurs. Reviewed by CMT at regular Performance Board meeting. Procurement tender processes require major contractors to have business continuity plans in place. Business continuity arrangements invoked/ enhanced during coronavirus crisis. Lessons learned through the Covid pandemic has tested mobile working arrangements.	Review of off-site storage of BCPs and paper copies retained by all senior managers. Staff to test and challenge their arrangements together with contractors and suppliers. Consider arrangements as part of procurement strategy.. Consider further communications with staff over business-critical risks as continual reminder.

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 6	All Directorates	Information Governance and Data Protection	Failure to keep all personal data secure leading to a breach of the General Data Protection Regulations (GDPR) and Data Protection Act resulting in fines and reputational risk.	Lack of awareness on information governance, security requirements and standards. Lack of training and staff/ Member awareness of requirements. Lack of clarity around what information is where and who is responsible for it. Increased information sharing. Increase in home and mobile working.	Breach of GDPR/ Data Protection legislation resulting in financial penalties/ ICO censure. Poor publicity/ reputational damage. Incident management of possible breaches will require corporate/ CMT support and will impact existing work. Less control over shared data.	Daniel Bainbridge

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
9 (3x3)	Trained resource to handle FOI/ DPA requests. Data Protection Officer appointed and trained. Hut Six training on data protection in place for new starters and when updates are rolled out.	4 (2x2)	Senior Information Management Officer to obtain FOI qualification once in post. Annual mandatory DP training for all staff to include safe home working guidance to ensure protection and confidentiality of ADC data while working at home.

ICO guidance on preparation for General Data Protection Regulation (GDPR) reviewed and Action Plan progressed. Additional external advice obtained and transfer to GDPR and new Data Protection Act complete.

Data audit conducted, and policies updated for DPA/ GDPR compliance- now subject to ongoing review.

Policy/ publication updates being completed, and regular briefings provided to CMT and staff.

DPA/ GDPR training provided to all staff and Members. E-learning undertaken for Information Governance.

Information Security Group (ISG) oversight of data protection and security compliance.

Data Protection incident management process developed and advised to staff/ management.

Head of Technology & Digital and ICT Digital Manager added to delegated authority for GDPR/ DPA (to increase capacity). Availability arrangements for ICT out- of- hours incident response accepted by CMT. | Implementation programme/action plan Information Governance audit recommendations.

Monitoring any ongoing legislative changes and implement actions as required.

Fresh data audit needed. Asset mapping required. Process needed for ongoing review.

Review library of DP and FOI policies. Update where needed. Create policies where required.

Review terms of reference to ensure fitness for purpose. Review membership.

Review delegations to ensure they are up-to-date to reflect current postholders and that delegations sit within the correct service areas. |

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 7	All Directorates	Climate Change	Failure to make the activities of the Council carbon neutral by 2030.

Failure to complete/ achieve the actions detailed in the Council's Climate Action and Biodiversity Work Plan 2022- 2023. | Increased severity of global warming caused by continued use of carbon.

A lack of understanding, resource allocation, and commitment to achieving climate change goals, through both officer actions and members vote.

Slow take- up of energy saving measures e.g. green/ renewable tariffs, smart meters, installation of PV etc. | Increased likelihood of extreme weather: (hot and cold) impacting vulnerable residents and staff.

Increased likelihood of flooding (coastal, fluvial and surface) impacting on properties.

Extreme weather impacting the delivery of day-to-day services and damaging properties, both residential and cooperate. In turn an increased budget required for regular repairs of these damages.

Detrimental impact on the local environment, including a significant reduction or loss in biodiversity and ecosystem stability. | Philippa Dart |

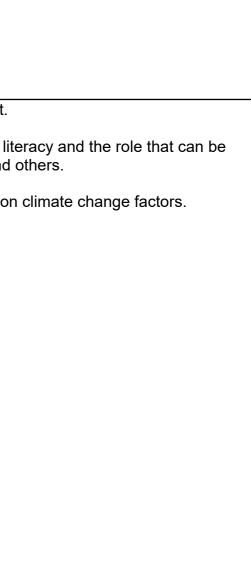|						
				Increase of sustainable energy costs verses carbon energy in short term. Inadequate level of sustainability required in proposal/ approved developments. Inadequate level of sustainability required in the Councils procurement process, for both purchased goods and services. Slow development of Government led policies for home/office energy standards, including for new developments and retrofit projects. Lack of financial support through relevant and applicable Government funding/grants. Government slow to introduce waste strategy including mandatory food waste collection. Slow take-up of electric, hybrid and low- emission vehicles- lack of accessible charging points. Progress of initiatives delayed due to Covid.	Continued reduction of air quality and resident health through emissions associated with petrol/diesel fuelled transport.	

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
16 (4x4)	Prioritisation of climate change in council Vision. Increased national awareness and drive for change including Member desire to progress climate change agenda. Government manifesto promises and global input (COP26 and beyond) and introduction of legislation. Council monitoring and implementing changes to Government standards (e.g. Future Homes). The Council's Carbon Neutral Strategy 2022- 2030 and Climate Action and Biodiversity Work Plan 2022- 2023 including actions and clear priorities being progressed. Climate Change & Sustainability Manager appointed. Regular reporting of carbon reduction targets and actions to Committee. Options for developing planning policy guidance and Supplementary Planning Documents SPD) aimed at improving the sustainability of developments compared to the current position and action plan to be progressed. Liaison with external agencies (water agencies on local water quality- Blue Flag beaches and the Sussex Air Quality Partnership). Liaison with partners/ advice on provision of suitable vehicle charging points for the future and advice to residents on energy saving, reduction in carbon emission, wellbeing etc. Providing support for other national/ local initiatives e.g. waste recycling.	16 (4x4)	Appointment of Carbon Reduction Strategy post. Further training to members and staff of carbon literacy and the role that can be played in reducing carbon use by the council and others. Increased internal and external communication on climate change factors.

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 8	All Directorates	Corporate Health and Safety	Failure to adhere to Health and Safety policies and procedures and legal requirements leading to death, serious injury, or life limiting illness, of an employee or third party resulting in prosecution under Health and Safety legislation, adverse publicity, fines, and	Inadequate health and safety arrangements. Lack of awareness of Health and Safety policies, procedures, and responsibilities.	Death, injury or life limiting illness, to staff or third party resulting in prosecution under Health and Safety legislation. Other enforcement action causing prohibition/closure or interruption of service or activity.	Karl Roberts

			possible prison sentences. Such failures may also lead to civil claims for compensation.	Inadequate capability, competence and/or training of managers and staff on health and safety. Insufficient resources or capacity to manage health and safety. Lack of staff training.	Reputational damage/ poor publicity. Corporate manslaughter prosecution. Fines and possible prison sentences. Civil claims for compensation. Regulatory censure/ intervention.	

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
12 (3x4)	Adopted and published health and safety policies, and procedures and guidance are available to all staff via the intranet. The Council Health & Safety Policy includes detailed responsibilities. Safety Management Programme tasks issued monthly, to manage service level risks. Corporate health and safety support function within Environmental Health. Quarterly reports on health and safety provided to CMT. Monthly KPI (CP6). Corporate health and safety commentary on committee reports. Internal Audit of Corporate Health & Safety July 2022.	**8** (2x4)	Introduce manager health & safety induction training. Introduce corporate health and safety training programme. Review the safety management programme. Introduce an annual health and safety verification/assurance programme. Action the recommendations of the Internal Audit Report (Sep 22). Develop health and safety culture and communications.

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 9	All Directorates	Equality & Diversity	The Council fails to meet its statutory obligations under the Equality Act 2010. Insufficient resource is put in place to ensure equality and diversity requirements are mainstreamed and embedded. Services areas may focus on what they consider their core business and consider equality and diversity less relevant/ important. Staff are not protected and as a result are subjected to unacceptable behaviour/ treatment.	Lack of consistent council- wide knowledge on Public Sector Equality duty and how to take equalities into consideration. Gaps in available data and analysis to understand potential impacts of decision making. Compliance driven rather than understanding based on good analysis. High turnover of staff resulting in loss of knowledge/ institutional memory loss. Overall budget pressures. Other priorities require funding. Some funding is in place, but it is not sufficient to meet all aspirations. Insufficient prioritisation/ competing against other priorities corporately and within service areas. Lack of or inconsistent ownership within or across service areas.	Challenged in court via Judicial review for failing to meet equalities duties. Negative Impact on staff morale and performance if the work environment is not perceived to be equitable. Our aspirations are not achieved, and this could result in stakeholders' concerns not being addressed. Compliance failure within some service areas. Financial implications of non- compliance resulting in legal action at Employment Tribunal (ET) or civil action for external issues. Worst case scenario is that there is no financial limit on discrimination remedy at an ET. Reputational damage.	James Hassett

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
12 (3x4)	By the nature of the services delivered by the Council, policies and procedures are designed to be inclusive. As a result equality, diversity and inclusion requirements are automatically captured and addressed. Consultation on Council services and projects enables equality and diversity feedback to be obtained and considered where appropriate. Staff and Customer satisfaction surveys are undertaken providing an opportunity for weaknesses to be highlighted and addressed. The Council has a specific section on the Committee Report Template ((Section 13: Equalities Impact Assessment (EIA)/ Social Value) to ensure that equality and diversity is considered as part of the decision- making process. Any comments completed within this section will be reviewed by an appropriate officer prior to going to committee. The Council's Complaints Procedure provides an opportunity for equality and diversity weaknesses/ failings to be highlighted and monitored, addressed and lessons learnt to be carried forward. The Council has strong Human Resource policies and procedures that support equality and diversity, for example: • Dignity at work, • Equality, diversity and inclusion policy, • Recruitment Mandatory annual online equalities and diversity training is provided to all staff. Awareness training is offered to all members when they are elected (but with limited take-up). Annual monitoring of equal opportunities recruitment is undertaken. The Council's Customer of Concern Register aims to protect staff against unacceptable behaviour/ treatment.	8 (2x4)	An equalities and diversity assessment/ review should be undertaken to ascertain what service areas currently do to ensure compliance. **Note to CMT:** The action taken by all Service Areas to ensure compliance with equality and diversity is unknown at this time. The assessment/ review recommended above will: • Identify any failings/ weaknesses/ knowledge gaps. • Identify best practice. There will be some service areas which by the nature of the work they undertake will already adopt best practice e.g. Customer Services/ Wellbeing working with certain community groups or vulnerable customers. Where appropriate this will be adopted/replicated in other service areas. • Identify areas/ actions for improvement. • Inform the requirement for a resource to deliver the action plan/ any ongoing resource requirements. Develop an Action Plan to improve equality and diversity across the Council. Determine resource requirement to deliver the action plan, including consideration of the impact on existing staff within service areas. Determine the need for an ongoing resource. Enhance awareness and knowledge through training including the requirements for the EIA Section on the for completing the - committee reports included/ requirements for these. Mandatory awareness training for all members following local elections in 2023 and annually thereafter.

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 10	Growth	Planning Policy and Conservation (Local Plans Team)	Not having an up-to-date Development Plan, guidance and a supporting evidence and monitoring framework.	- Key staff vacancies not filled/insufficient capacity and experience. - Unmanageable workload - Competing work priorities within the policy team. - Member decisions to pause/postpone - Council elections/Purdah (though this only affects a very short period and does not affect all decisions). - National Policy changes. - Failure of budget management/project planning.	• Non compliance with Local Development Scheme – Local Plan update. • Failure to deliver Neighbourhood Plan preparation/updates. • The above would result in failure to have a 5-year land supply in place which would render certain polices out of date and trigger the presumption in favour. • Failure under Housing Delivery Test. This does not place an additional burden as the presumption would already apply without a 5 year land supply. • Risk of Plans being prepared by Government intervention. • Policy Framework out of date and decision making at risk of appeal and costs. • Additional budget needed to cover additional National policy requirements. • Legal costs (Appeals and JR) of failure to comply with national planning legislation. • Developments will be granted on appeal at an ever-increasing rate leading to reactive rather than proactive planning. Smaller sites not allocated in Plans would come forward and be difficult to resist. Opportunity for joined up infrastructure would be significantly reduced. • Insufficient evidence commissioning to support plan making. • Inability to progress important work on matter such as biodiversity, climate change or infrastructure (for example). These matters will be contained in future planning policies and betterment will only be secured when policies are adopted. • Abortive work/costs.	Karl Roberts/ Neil Crowther

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
12 (3x4)	• More proactive engagement with Members. A need for more regular and detailed meetings to discuss issues and implications. • There will be some preparatory work taking place prior to any future decision (May/June 2023 Planning Policy Committee) on whether to resume work on the Local Plan. This is set out in the report to Planning Policy Committee in July 2022. • Clear project plan to be prepared and adhered to. • Regular team meetings specifically on Local Plan update and Neighbourhood Plan to review progress and to identify any difficulties arising with a view to finding solutions. • Full use of Neighbourhood Planning grant. • Ensure statutory consultation stages are achieved and compliant.	12 (3x4)	Political commitment must be sought and agreed on the back of these meetings. Develop/monitor Recruitment Strategy and call off contract support for output deliverables. Further regular benchmarking – monitoring and review. Production of a Project Initiation Document in respect of the Local Plan that will be regularly reviewed.

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 11	Place	Major Projects	Failure to regenerate coastal towns within the district. Failure to deliver major projects in line with funder requirements meaning funding is withdrawn. Insufficient resources to deliver vision and aspirations for the district.	Lack of funding to deliver major projects. Decisions not made swiftly enough. Lack of public/ partnership acceptance of, and buy-in to strategies. Legal challenges increase. Multiple major projects running simultaneously- resources stretched. Impact of growth of Butlins and Chichester University influencing local market conditions. Other Council borrowing priorities/ increase in PWLB	Project fails to deliver objectives on time and/ or exceeds budget. Developers and invested could be deterred. Lack of growth. Possible legal issues from developer plans submitted before the Council consideration of schemes. Missed opportunities to invest in areas of development potential. Lack of visible progress with developments. Area turns into a commuter belt and is not regenerated leading to decline. Financial and reputational risk/ poor publicity.	James Hassett Philippa Dart Karl Roberts

				rates.	Development of Council land (car parks etc) could mean loss of income streams.	
				Uncertainty surrounding major Government schemes impacting the area e.g. Arundel by-pass, Chichester by- pass.	Further uncertainty over availability of Council and external funding in the future.	
				Further uncertainty over availability of Council and external funding in the future. Initiatives delayed due to coronavirus crisis.	Business closure e.g. in retail, hospitality and leisure sectors. The Council could face large revenue costs for aborted projects if external funding is withdrawn.	
				Local economy impacted by the pandemic.		
				Inconsistent decision making leading to projects being started and then abandoned.		

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
12 (3x4)	Briefings for members. Temporary employment of Head of Regeneration. Bidding for external funds (Levelling Up Fund and Funding from Coast To capital LEP. Use of external support – Project Officers, Mace and Faithfull & Gould. Communications – Press Releases. Engagement with Partners e.g.: University, Bognor Regis Regeneration Board, Town & Parish Councils.	12 (3x4)	Growth of Economy & Regeneration team to improve speed and depth of delivery. Increased briefing & reporting to members. External resourcing for support on Arundel Bypass.

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 12	Directorate of Environment and Communities	Homelessness	Increase in homelessness presentations. Homelessness demand exceeds resources available.	Not being able to meet the homelessness need. Lack of suitable Emergency Accommodation and available Temporary Accommodation. Private Sector housing market becoming more expensive. Increased complex homeless presentations. Impact of the cost-of-living increases demand. Increases in mortgage rates lead to more housing repossessions.	Inadequate resource to manage the number of presentations. Legal challenge. Children being subject to homelessness. Vulnerable people (disabled, elderly, chronically ill etc.) being subject to homelessness.	Philippa Dart/ Moh Hussein

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
16 (4x4)	Effective planning and deployment of resources. Timely decision making and effective casework management by Housing Options Officers. Regular monitoring of caseloads by the Team Leader.. Flag to Senior Management Team.	9 (3x3)	The full impact of the cost of living is not yet known. The Council will need to be reactive as the impact begins to materialise.

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 13	Directorate of Environment and Communities	Housing	Delayed or non- implementation of the new housing management system Cx.	Poor project management. Interface/API solution delays with partners. Reduced project team resources/sickness/absence/resignations. Lack of, or changes in decision making. Lack of service level expertise. Contractual issues. Additional costs.	Reputational damage. Inability to deliver services. Inability to collect payments. Inability to set rents. Inability to create and end tenancies. Reduced service to tenants. Missed opportunity for service improvement. Coming to the attention of the Housing Ombudsman & Regulator for Social Housing.	Philippa Dart/ Moh Hussein

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
9 (3x3)	Engagement of DTL experts in implementation of the Cx product.. Revised project team resources.	4 (2x2)	None.

CORPORATE RISK REGISTER

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 14	Directorate of Environment and Communities	Housing Repairs	Compliance Failings.	Housing continues to be under notice by the Regulator for Social Housing.	Regulator takes over compliance. Budget pressures to resolve with urgency. Reputational damage. Tenant complaints. Risk of serious incidents increased.	Philippa Dart/ Moh Hussein

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
12 (3x4)	Robust contract evaluation. Regular financial checks. Have alternative suppliers/ framework in reserve Appointed different gas contractors for Domestic and Commercial Contracts so have built in back up should one fail. Monthly contract review meetings.	8 (2x4)	These measures have been established. Activity is undertaken to a program and continues to be managed and reviewed closely.

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 15	Directorate of Environment and Communities	Housing	Ineffective complaints management.	High staff turnover. Lack of training. Lack of procedure. Lack of lessons learnt reviews.	Reputational damage. Poor relationship with tenants. Missed opportunity for service improvement. Complaints escalation. Non-compliance with the Ombudsman complaint handling code. Coming to the attention of the Housing Ombudsman & Regulator for Social Housing.	Philippa Dart/ Moh Hussein

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
9 (3x3)	Adherence to the Corporate Complaints Procedure requires the Council to have clear mechanisms in place for tenants to complain, and to respond to complaints promptly and effectively. Correct culture on complaints handling means complaint resolution is well managed and actions are clearer.	6 (2x3)	Staff training. Better awareness of the policy. Development of a complaints handling procedure. Annual training. Feedback to staff on complaints and lessons learnt. Fostering a culture of positive benefits from resident complaints.