APPENDIX 1: ARUN DISTRICT COUNCIL'S RISK MATRIX

IMPACT		Unlikely (1)	Possible (2)	Likely (3)	Very Likely (4)
	Very High (4)	4	8	12	16
	High (3)	3	6	9	12
	Medium (2)	2	4	6	8
	Low (1)	1	2	3	4
		LIKELIHOOD			

To ensure resources are focused on the most significant risks. The Council's approach to risk management is to assess the risks identified in terms of both the potential likelihood and impact so that actions can be prioritised.

The risk management process requires each risk to be assessed twice- gross and net risk levels.

Gross Risk Level: is taken on the basis that there is no action being taken to manage the identified risk and/ or any existing actions are not operating effectively. The worst-case scenario if the risk were to occur.

Net Risk Level: This re-evaluates the risk, taking into consideration the effectiveness of the identified existing actions. The reality if the risk were to occur in the immediate future.

APPENDIX 2: REVIEWING AND REPORTING FRAMEWORK

Net Risk Level and Score	Frequency of Reviews (applies to <u>all</u> risk registers)
High 12-16	These are significant risks which may have a significant impact on the Council and the achievement of its objectives if not managed. Immediate management action needs to be taken to reduce the level of net risk. Any net red risks at a service area level will be included alongside corporate risks reported to the Corporate Management Team. **As a minimum review <u>monthly</u>**
Medium 4-9	Although usually accepted, these risks may require some additional mitigation to reduce likelihood if this can be done cost effectively. These risks should be reassessed to ensure conditions remain the same and existing actions/ controls are operating effectively. **As a minimum review <u>quarterly</u>**
Low 1-3	These risks are being effectively managed and any further action to reduce the risk would be inefficient in terms of time and resources. These risks should be reassessed to ensure that conditions remain the same and existing actions/ controls are operating effectively. **As a minimum review <u>6- monthly</u>**

APPENDIX 3: CORPORATE RISK REGISTER SUMMARY

CRR Ref	Directorate or Service Area	Risk Area	Gross Risk Level (Risk is Likelihood x Impact)	Net Risk Level (Risk is Likelihood x Impact)	Last Review Date	Change in Net Risk Level	Risk Owner
CRR 1-B	Housing/ Finance	Balance of Housing Revenue Account	16 (4x4)	12 (3x4)	CMT Performance Board: 20 June 2023	→	Tony Baden/ Moh Hussein
CRR 2	All Directorates	Organisational capacity to deliver	16 (4x4)	12 (4x3)		→	Karl Roberts/ Philippa Dart
CRR 7	All Directorates	Climate Change	16 (4x4)	16 (4x4)		→	Philippa Dart/ Joe Russell-Wells
CRR 10	Growth	Planning Policy & Conservation- Development Plan	12 (3X4)	12 (3X4)		→	Karl Roberts/ Neil Crowther
CRR 11	Place	Major Projects	12 (3x4)	12 (3x4)		→	Karl Roberts/ Philippa Dart

CRR Ref	Directorate or Service Area	Risk Area	Gross Risk Level	Net Risk Level	Last Review Date	Change in Net Risk Level	Risk Owner
CRR 1-A	All Directorates	Financial Resilience	12 (3x4)	8 (2x4)	CMT Performance Board: 20 June 2023	→	Tony Baden
CRR 3	All Directorates	Change Management and Transformation	16 (4x4)	9 (3x3)		→	Karl Roberts/ Philippa Dart
CRR 4	All Directorates	ICT- Major successful cyber-attack	16 (4x4)	8 (2x4)		↓	Jackie Follis
		ICT- Physical or technical failure	12 (3x4)	6 (2x3)		→	Jackie Follis
		ICT- Loss of staff	REMOVED	REMOVED		**REMOVED**	Jackie Follis
		ICT- Permission to access government systems.	12 (4x3)	6 (2x3)		**Escalated Operational Risk on 09/05/2023**	Jackie Follis
CRR 5	All Directorates	Corporate Business Continuity	12 (3x4)	9 (3x3)		→	Philippa Dart/ Joe Russell-Wells
CRR 6	All Directorates	Information Governance and Data Protection	9 (3x3)	4 (2x2)		→	Daniel Bainbridge
CRR 8	All Directorates	Corporate Health and Safety	12 (3x4)	8 (2x4)		→	Nat Slade
CRR 9	All Directorates	Equality and Diversity	12 (3x4)	8 (2x4)		→	Jackie Follis
CRR 12	Homelessness	Increased Homelessness	16 (4x4)	9 (3x3)		→	Moh Hussein
CRR 13	Housing	Housing Management System Implementation	12 (3x4)	4 (2x2)		→	Moh Hussein
CRR 14	Housing Repairs	Compliance Failings	4 (1x4)	4 (1x4)		↓	Moh Hussein
CRR 15	Housing	Ineffective Complaints Management	9 (3x3)	6 (2x3)		→	Moh Hussein
CRR 16	All Directorates	Chief Executive resignation/ vacancy	16 (4x4)	8 (2x4)		**New Risk as at 18/04/2023**	Karl Roberts/ Philippa Dart
CRR 17 (ORR 54)	Growth	Disabled Facilities Grant	4 (1X4)	4 (1X4)		**Escalated Operational Risk on 18/04/2023**	Nat Slade

APPENDIX 4: 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
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 years 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.	Tony Baden/ 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)	Officers are currently working with a consultant from CIPFA to review the Council's HRA accounting policies in respect of depreciation, capital accounting and staff recharges. Good progress has been made and proposals are currently being reviewed prior to implementation to ascertain if they comply with the main CIPFA accounting code of practice. Budget monitoring. Review of Capitalisation Policy. Review of Borrowing Strategy. Contract Management. Review of Repairs Contract. Close adherence to rent arrears policy and procedures.	12 (3x4)	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. Regular case reviews with specialist Housing Officers.

	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. 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.	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. 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.	Karl Roberts/ 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)	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 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. 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.	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. Continued reduction of air quality and resident health through emissions associated with petrol/diesel fuelled transport.	Philippa Dart/ Joe Russell-Wells

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
16 (4x4)	Climate Change & Sustainability Manager appointed. 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. Continued annual monitoring of Scope 1, 2 and 3 emissions in line with greenhouse gas protocols and guidance. Annual update and review of the Council's Climate Action and Biodiversity Work Plan. Bids have been returned to undertake the procurement 'deep dive' and emission analysis for the 22/23 financial year. This works will include extensive analysis and review of procurement emissions (Arun's single largest emitter) and will help determine next steps and produce a list of actions which will be used to help increase reductions in this area. Development of climate related training for officers (mandatory) and members. This will include an introduction to climate change/ sustainability, emissions and what the Council aims to do and is doing to reach the 2030 carbon neutral target. Provision of Carbon Literacy training at senior level (including director and group heads, along with managers) to help start behavioural change within the Council. Further trainings to be carried out through the 23/24 year to include other officers to help imbed climate change/sustainability thinking throughout all levels of the Council. Continued work to undertake and complete energy audits of key buildings to provide next steps on how to improve efficiency and drive down emission production. Continued connection with other D&Bs within West Sussex (and externally) to share ideas and support climate change related work.	**16** (4x4)	Appointment of Climate Change and Sustainability officer to provide further support to the Council in reducing emissions. Support to be provided to suppliers and contractors, as well as local SMEs, businesses and companies around emission reduction and procurement changes. This will be in the form of support via information sheets and guidance documentation, as well as sign posting to external help and support. Further training to staff of carbon literacy and the role that can be played in reducing carbon use by the council and others. Training opportunities for members to be reviewed and provided where possible. Increased internal and external communication on climate change factors. Procurement strategy prioritising low carbon purchasing as well as undertaking a 'deep dive' into procurement emissions to determine next steps and produce a list of actions which will be used to help increase reductions in this area. Additional funding (£100k) has been provided for the 23-24 financial year. This will be used to further increase action to reduce emissions and fight climate change. Exact details are not yet determined but this could include supporting building upgrades in line with building audit results, providing support (internal and external) for sustainable projects, providing additional training within the Council, and undertaking further consultancy work.

	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, Sussex Nature Partnership around biodiversity and BNG across Sussex). Appointment of Climate Change and Sustainability officer to provide further support to the Council in reducing emissions. Work is underway in developing engagement/ comms across the district, to include Arun's suppliers, local SMEs/ businesses and residents. 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 and the Sussex Kelp Project	

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 was some preparatory work prior to the decision (June 2023 Planning Policy Committee) on whether to resume work on the Local Plan. • 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. Awaiting decision of Full Council in July 23. Develop/monitor Recruitment Strategy and call off contract support for output deliverables. Proposed outsourcing of preparation of Local Plan Further regular benchmarking – monitoring and review. Production of a Project Initiation Document in respect of the Local Plan that will be regularly reviewed.

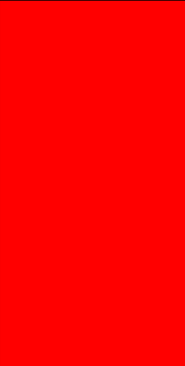| CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 11	Place	Major Projects	Failure to regenerate coastal towns within the district. Failure to deliver major projects in line with funder requirements meaning funding is withdrawn. Insufficient resources to deliver 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 rates. 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. Inconsistent decision making leading to projects being started and then abandoned.	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. Development of Council land (car parks etc) could mean loss of income streams. Further uncertainty over availability of Council and external funding in the future. 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.	Karl Roberts/ 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)	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- this awaits updated decision from govt in RIS 3. Seek legal advice on possible legal challenges.

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.	Tony Baden

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
12 (3x4)	The Group Head of Finance has engaged an external resource to review and develop the Council's Medium Term Financial Forecast. This will be reported to Members as part of the budget setting process and will give an updated view of the Council's overall financial position. 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. Monitoring of potential changes to government policy, legislation etc. Sufficient reserves.	8 (2x4)	Develop an Income Generating Strategy to guide the Council's income generating activity and investments. Review the frequency of financial reporting to CMT and regularise this with the aim of raising awareness regarding our current financial position. This will include the budget monitoring report, medium- term forecast and specific service area requirements e.g. quarterly report on the HRA to CMT.

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.	Karl Roberts/ 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)	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.	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.

■	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.	■	• 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 damaged and increased data loss. A national attack will mean access to cyber experts and other government agency help may not be available.	Major successful 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 with no IT systems for staff & customers (2 to 6- month phased recovery). 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). Each day of downtime= c£90k loss of productivity.	Jackie Follis
			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 word still work outside of council premises although with reduced facilities. Potentially a significant disruption of service with no IT systems for staff & customers (5-28- day phased recovery). 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.	
			3. Permission to connect to government systems such as DWP is revoked.	Lack of resources / not having a current code of connection certificate. Service provider not accepting mitigations and/or remediation plan.	Unable to undertake functions requiring access to government systems e.g. benefits processing.	

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, recovery facilities, air-gap backups, 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 periods of no ICT.	8 (2x4)	The impact has a major significance for the 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 amount by any amount even if only to reduce by a point factor would be worthwhile. New post of IT Security Officer to focus on protect and recover. Continually review new cyber defences and recovery approaches.
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. Services should have a BCP in place including scenarios for extended periods of no ICT.	6 (2x3)	Accept risk and existing mitigations.
12 (4x3)	3. Undertake annual IT Health Check, create and action remediation plan and submit application to Cabinet Office.	6 (2x3)	Ensure sufficient resources allocated.

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. Inability 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/ Joe Russell-Wells

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 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.	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. 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. Recent Audit review of Corporate Business Continuity arrangements across the authority has taken place over Q4 2022-23. Outcomes awaited with a view to any advisory outcomes

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. 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.	4 (2x2)	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. 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.

	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. Senior Information Management Officer has obtained FOI qualification.		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 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 possible prison sentences. Such failures may also lead to civil claims for compensation.	Inadequate health and safety arrangements.

Lack of awareness of Health and Safety policies, procedures, and responsibilities.

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. | 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.

Reputational damage/ poor publicity.

Corporate manslaughter prosecution.

Fines and possible prison sentences.

Civil claims for compensation.

Regulatory censure/ intervention. | Nat Slade |

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.

Resource implications highlighted are not included in the budget- this needs to be addressed. |

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 or civil action for external issues. Worst case scenario is that there is no financial limit on discrimination remedy at an ET. Reputational damage.	Jackie Follis

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 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.	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. New acquisitions bring a modest annual increase in net supply and whilst this will inevitably have an overall positive impact on households in temporary accommodation, it will not make a significant difference to the number of households in TA. We are working towards establishing new supported housing provision for single people through the SHAP grant process. When these units are completed they will make a difference to the number of single homeless people in TA. We are working towards establishing new temporary accommodation using the LAHR grant process. When these units are completed they will reduce the reliance on B&B and emergency accommodation, reducing costs and increasing standards.

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.	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)	Change in project manager via 3C consultants to give improved governance and direction to the project. Backfills completed for the project team, less requirements on them from their day-to-day roles. New project manager working closely with Civica and will escalate within Civica and Arun if the project plan timescales look at risk. Project plan includes more time for testing, build, data passes and realistic contingency based on previous projects of this type.	4 (2x2)	As a last resort some lesser used functionality could be left until after go- live if time slipped too much.

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.	Moh Hussein

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
4 (1x4)	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.	4 (1x4)	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.	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. The Corporate Complaints process has been revised with complaints being handled/ investigated within the service area. This increases awareness, accountability, and responsibility enhancing the potential for service area improvements. Resource implications of the revised process are being monitored and addressed. 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.

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 16	All Directorates	Chief Executive resignation/ vacancy	Delayed or unsuccessful recruitment of replacement Chief Executive. Gaps in the delegation of decision- making, responsibility, and accountability.	New administration wishes to explore all appropriate options regarding recruitment as part of the recruitment process.	Breach of statutory obligations. Increased accountability, responsibility and pressure on directors and senior management. Lack of or reduced representation on external bodies. Strategic decisions delayed including transformation. Potential delay in delivering a significant improvement to the net budget position and implementation of Target Operating Model. Staff uncertainty and low staff morale. Reputational issues. Negative public perception.	Karl Roberts/ 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)	Robust recruitment process. Communication with staff to provide assurance. Communication with the public/ press releases. Secure political support for implementation of measure for early action on delivering a significant improvement to the net budget position and implementation of Target Operating Model. Appointment of current Directors as joint interim CEO's.	8 (2x4)	Agree recruitment process and timetable (both for any interim as well as permanent). Interim CEO's to maintain regular dialogue with political leadership on issue. Also explore options with Group Head of Organisational Excellence.

CRR Ref	DIRECTORATE OR SERVICE AREA	RISK AREA	RISKS IDENTIFIED	CAUSES	EFFECTS	RISK OWNER
CRR 17 (ORR 54)	Growth	Disabled Facilities Grant	• Potential for government to clawback ~300K pa from 2020 onwards of Better Care Fund grant that is used on salaries of PSH team staff delivering adaptations, county project manager salary & countywide minor repairs contract and countywide deep clean contract	• Ambiguity over use of Better Care Fund on revenue exacerbated by non-statutory DLUHCs guidance produced by Foundations.	• Detriment to Council's financial position – reduction of reserves.	Nat Slade

GROSS RISK LEVEL (Risk is Likelihood x Impact)	EXISTING CONTROLS/ MITIGATING ACTIONS	NET RISK LEVEL (Risk is Likelihood x Impact)	FURTHER ACTIONS
4 (1x4)	• Risks applicable to all District & Borough Councils within the West Sussex Adaptations Project. • Risks outlined by joint Project Manager considered by the inter-authority project Steering Group – recommendation made by Steering Group to WSCEO Group in June 2022 who decided to accept the risk and proceed with project.	4 (1x4)	None identified.