

**LEWES DISTRICT COUNCIL**

**STRATEGIC RISK REGISTER**

**JUNE 2019**

Code	Title	Description	Likelihood	Impact	Original Risk Score	Internal Controls	Risk Owner	Likelihood	Impact	Current Risk Score	Traffic Light	Next Review Date
1	No political and partnership continuity/consensus with regard to organisational objectives	Sudden changes of political objectives at either national or local level renders the organisation, its current corporate plan and Medium Term Financial Strategy unfit for purpose.	4	4	16	<u>Reduces Likelihood</u> 1. Create inclusive governance structures which rely on sound evidence for decision making.  <u>Reduces Impact</u> 2. Annual review of corporate plan and Medium Term Financial Strategy  3. Creating an organisational architecture through the Joint Transformation Programme that can respond to changes in the environment.	Chief Executive	3	3	9	Amber	Aug-2019
2	Changes to the economic environment makes the Council economically less sustainable	1. Economic development of the district suffers.  2. Council objectives cannot be met.	4	4	16	<u>Reduces Impact</u> 1. Robust Medium Term Financial Strategy reviewed annually and monitored quarterly. Refreshed in line with macro economic environment triennially.  2. Creating an organisational architecture through the Joint Transformation Programme that can	Chief Finance Officer	4	3	12	Amber	Aug-2019

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						respond to changes in the environment.						
3	Unforeseen socio-economic and/or demographic shifts creating significant changes of demands and expectations.	1. Unsustainable demand on services. 2. Service failure. 3. Council structure unsustainable and not fit for purpose. 4. Heightened likelihood of fraud.	2	4	8	<u>Reduces Impact</u> 1. Grounding significant corporate decisions based on up to date, robust, evidence base. (e.g. Census; Corporate Plan Place Surveys; East Sussex in Figures data modelling). 2. Ensuring community and interest group engagement in policy development (e.g. Neighbourhood Management Schemes; Corporate Consultation Programme)	Director of Service Delivery	3	3	9	Amber	Aug-2019
4	The employment market provides unsustainable employment base for the needs of the organisation	Employment market unable to fulfil recruitment and retention requirements of the Council resulting in a decline in performance standards and an increase in service costs.	4	4	16	<u>Reduces Likelihood</u> 1. Joint Transformation programme to increase non-financial attractiveness of EBC to current and future staff. 2. Appropriate reward and recognition policies reviewed on a regular	Asst Dir of HR and Transformation	3	2	6	Amber	Aug-2019

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						basis.  <u>Reduces Likelihood and Impact</u> 3. Review of organisation delivery models to better manage the blend of direct labour provision. Pursuit of mutually beneficial shared service arrangements.						
5	Not being able to sustain a culture that supports organisational objectives and future development.	1. Decline in performance. 2. Higher turnover of staff. 3. Lack of staff motivation 4. Increase in absenteeism. 5. Service failure 6. Increased possibility of fraud and error.	4	4	16	<u>Reduces Likelihood</u> 1. Deliver a fit for purpose organisational culture through Joint Transformation programme.  2. Continue to develop our performance management capability to ensure early intervention where service and/or cultural issues arise.  3. Continue to develop communications through ongoing interactions with staff.	Asst Dir of HR and Transformation	3	4	12	Amber	Aug-2019
6	Council prevented from	1. Denial of access to property	3	5	15	<u>Reduces Likelihood</u> 1. Adoption of best practice	Chief Executi	2	4	8	Amber	Aug-2019

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	delivering services for a prolonged period of time.	2. Denial of access to technology/information 3. Denial of access to a significant contract or partnership. 3. Denial of access to people				IT and Asset Management policies and procedures.  <u>Reduces Likelihood and Impact</u> 2. Joint Transformation programme has created a more flexible, less locationally dependent service architecture.  <u>Reduces Impact</u> 3. Regularly reviewed and tested Business Continuity Plans.  4. Regularly reviewed and tested Disaster Recovery Plan.	ve					
7	Council materially impacted by the medium to long term effects of an event under the Civil Contingencies Act	1. Major incident caused by fire, flood or other disaster resulting in homelessness, disruption to Council services and local business communities  2. Service profile of the Council changes materially as a result	3	5	15	<u>Reduces Likelihood and Impact</u> 1. Working in partnership with other public bodies.  2. Robust emergency planning and use of Council's emergency powers.  <u>Reduces Impact</u> 3. Ongoing and robust risk profiling of local area	Asst Dir for Corporate Governance	1	3	3	Green	Aug-2019

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		of the impact of the event.  3. Cost profile of the Council changes materially as a result of the impact of the event.				(demographic and geographic).  4. Review budget and reserves in light of risk profile.						
SR_008	Failure to meet regulatory or legal requirements	1. Credibility of the Council is negatively impacted.  2. Deterioration of financial position as a result of regulatory activity/penalties.  3. Deterioration of service performance as a result of regulatory activity/penalties.  4. Increased probability of prosecutions and compensation claims as a result of inadequate management of Health and Safety duties.	3	4	12	<u>Reduces Likelihood</u> 1. Developing, maintaining and monitoring robust governance framework for the Council.  2. Building relationships with regulatory bodies.  3. Develop our Performance Management capability to ensure early intervention where service and/or cultural issues arise.  4. Take forward the actions of the Asset Management Strategy to ensure we meet regulatory/legal requirements regarding the management of property.  5. Ensure there is full	Asst Dir Legal and Democratic	2	4	8	Amber	Aug-2019

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		5. Possibility of fraud and bribery.  6. Ensure compliance with legislation such as Data Protection and Safeguarding.  7. Entering into contracts etc. without having adequate finance in place.				understanding the impact of new legislation.  6. All managers are required to abide by the Council's procurement rules.  7. JTP Board considers activity mapping, ensuring that it covers regulatory/legal and main financial matters.  8. Ensure that fire risk regulations are adhered to and that Fire Risk Assessments are regularly reviewed.						
9	Commercial enterprises that are fully controlled by the authority do not deliver financial expectations or do not meet governance requirements.	1. Unfamiliar activity with staff inexperienced in this area  2. Council finances affected if projects do not meet financial expectations.  3. Reputational damage if governance procedures are	3	4	12	<u>Reduces Likelihood</u> 1. Hire suitably qualified/experienced staff to give legal and specialist support.  2. Appoint Head of Commercial Activities.  3. Ensure that projects meet core principles.  4. Up or re-skill staff to maximise commercial	Director of Regeneration and Planning  And  Director of Tourism and	3	3	9	Amber	Aug-2019

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		inadequate. 4. Failure to abide by company law.				opportunities. 5. Ensure governance processes are set up and adhered to.	Enterprise					