

Report to: Audit and Standards Committee

Date: 20 January 2020

Title: Strategic Risk Register quarterly review

Report of: Chief Internal Auditor

Ward(s): All

Purpose of report: To report to Committee the outcomes of the quarterly review of the register by Corporate Management Team

Officer recommendation(s): To receive and note the update to the Strategic Risk Register

Reasons for recommendations: The Council is committed to proper risk management and to regularly updating the committee with regard to the Strategic Risk Register

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1 Introduction

- 1.1 The Strategic Risk Register is a high level document that records the key risks facing the council: those risks that would prevent the authority from achieving its overall strategies and objectives.
- 1.2 Maintaining the Strategic Risk Register is a vital part of the governance arrangements of the authority and, as such, it is overseen by the Corporate Management Team who review it on a quarterly basis.
- 1.3 The risk register shows the risk, a description of the risk, the risk score if no action is taken (original risk score), the internal controls put in place to mitigate the risk and the risk score after these controls are in place (current risk score).
- 1.4 The risk register is brought to the committee when any changes have been made to it following review by the Corporate Management Team.

2 October 2019 Review

- 2.1 The Strategic Risk Register was taken to Corporate Management Team on the 29th October 2019 for the latest quarterly review.
- 2.2 At the last quarterly review two risks (SR_022 and SR_027) were increased due to the risk of a No Deal Brexit. These scores were to be reviewed this quarter.

With the date of the deal being deferred it was agreed to leave the risk scores at the higher level until more is known on the possible outcome.

2.3 As the Joint Transformation Programme is now complete most references to this have now been removed from the risk register.

2.4 It has been requested that a separate risk for a potential personal data breach be added to the risk register. Whilst it had originally been felt that this risk sat under SR_028, failure to meet regulatory or legal requirements, it has been agreed to add this as a risk in its own right. This now appears as SR_030 in the risk register attached.

3 Financial appraisal

3.1 There are no financial implications arising from this report.

4 Legal implications

4.1 This report demonstrates compliance with regulation 3 of The Accounts and Audit Regulations 2015, which requires the Council to operate a sound system of internal control, including effective arrangements for the management of risk.

Lawyer consulted 31.10.19

Legal ref: 008706-LDC-OD

5 Risk management implications

5.1 If the Council does not have an effective risk management framework that is subject to proper oversight by Councillors it will not be able to demonstrate that it has in place adequate means to safeguard Council assets and services, and it could be subject to criticism from the Council's external auditor or the public.

6 Equality analysis

6.1 An equalities impact assessment is not considered necessary because the report is for information only and involves no key decisions.

7 Appendix

- Appendix 1 - Strategic Risk Register

8 Background papers

None