

# Strategic Risk Register (Lewes)



**Report Type:** Risks Report  
**Generated on:** 30 October 2019

Code	Title	Description	Likelihood	Impact	Original Risk Score	Internal Controls	Risk Owner	Likelihood	Impact	Current Risk Score	Traffic Light	Next Review Date
SR_021	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 that can respond to changes in the environment.	Chief Executive	3	3	9	Amber	Feb-2020
SR_022	Changes to the economic environment makes the Council economically less sustainable	1. Economic development of the town suffers.  2. Council objectives cannot be met.	5	5	25	<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 that can respond to changes in the	Chief Finance Officer	5	5	25	Red	Feb-2020

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						environment.  <b>This risk has been given a higher score owing to the uncertainty over BREXIT. It will be reviewed once the outcome of current negotiations are known</b>						
SR_023	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.	3	4	12	<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	Feb-2020
SR_024	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	4	4	16	<u>Reduces Likelihood</u> 1. Changes increase non-financial attractiveness of EBC to current and future staff.  2. Appropriate reward and recognition policies reviewed on a regular basis.	Asst Dir of HR and Transformation	3	2	6	Amber	Feb-2020

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		standards and an increase in service costs.				<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.						
SR_025	Not being able to sustain a culture that supports organisational objectives and future development.	<ul style="list-style-type: none"> <li>1. Decline in performance.</li> <li>2. Higher turnover of staff.</li> <li>3. Decline in morale.</li> <li>4. Increase in absenteeism.</li> <li>5. Service failure</li> <li>6. Increased possibility of fraud.</li> </ul>	4	4	16	<u>Reduces Likelihood</u> <ul style="list-style-type: none"> <li>1. Deliver a fit for purpose organisational culture.</li> <li>2. Continue to develop our performance management capability to ensure early intervention where service and/or cultural issues arise.</li> <li>3. Continue to develop communications through ongoing interactions with staff.</li> </ul>	Asst Dir of HR and Transformation	3	4	12	Amber	Feb-2020
SR_026	Council prevented from delivering services for a prolonged period of time.	<ul style="list-style-type: none"> <li>1. Denial of access to property</li> <li>2. Denial of access to technology/information</li> <li>3. Denial of access to</li> </ul>	3	5	15	<u>Reduces Likelihood</u> <ul style="list-style-type: none"> <li>1. Adoption of best practice IT and Asset Management policies and procedures.</li> </ul> <u>Reduces Likelihood and Impact</u> <ul style="list-style-type: none"> <li>2. Joint Transformation programme has created a</li> </ul>	Chief Executive	2	4	8	Amber	Feb-2020

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		people				<p>more flexible, less locationally dependent service architecture.</p> <p><u>Reduces Impact</u></p> <p>3. Regularly reviewed and tested Business Continuity Plans.</p> <p>4. Regularly reviewed and tested Disaster Recovery Plan.</p>						
SR_027	Council materially impacted by the medium to long term effects of an event under the Civil Contingencies Act	<p>1. Service profile of the Council changes materially as a result of the impact of the event.</p> <p>2. Cost profile of the Council changes materially as a result of the impact of the event.</p>	3	5	15	<p><u>Reduces Likelihood and Impact</u></p> <p>1. Working in partnership with other public bodies.</p> <p>2. Robust emergency planning and use of Council's emergency powers.</p> <p><u>Reduces Impact</u></p> <p>3. Ongoing and robust risk profiling of local area (demographic and geographic).</p> <p>4. Review budget and reserves in light of risk profile.</p> <p><b>This risk has been given a higher score owing to the uncertainty over BREXIT. It will be reviewed once the outcome of current</b></p>	Asst Dir for Corporate Governance	2	3	6	Amber	Feb-2020

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						<b>negotiations are known.</b>						
SR_028	Failure to meet regulatory or legal requirements	<p>1. Trust and confidence in the Council is negatively impacted.</p> <p>2. Deterioration of financial position as a result of regulatory intervention/penalties</p> <p>3. Deterioration of service performance as a result of regulatory intervention/penalties</p> <p>4. Increased probability of prosecutions and compensation claims as a result of inadequate management of Health and Safety duties.</p> <p>5. Possibility of fraud and bribery.</p> <p>6. Ensure compliance with legislation such</p>	3	4	12	<p><u>Reduces Likelihood</u></p> <p>1. Developing, maintaining and monitoring robust governance framework for the Council.</p> <p>2. Building relationships with regulatory bodies.</p> <p>3. Develop our Performance Management capability to ensure early intervention where service and/or cultural issues arise.</p> <p>4. Take forward the recommendations of the CIPFA Asset Management report to ensure we meet regulatory/legal requirements regarding the management of property.</p> <p>5. Ensure there is full understanding the impact of new legislation.</p> <p>6. All managers are required to abide by the Council's procurement rules.</p>	Asst Dir Legal and Democratic Services	2	4	8	Amber	Feb-2020

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		as Data Protection and Safeguarding.  7. Entering into contracts etc. without having adequate finance in place.				7. Ensure that fire risk regulations are adhered to and that Fire Risk Assessments are regularly reviewed.						
SR_029	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 inadequate. 4. Failure to abide by company law.	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 opportunities. 5. Ensure governance processes are set up and adhered to.	Director of Regeneration and Planning  And  Director of Tourism and Enterprise	3	3	9	Amber	Feb-2020
SR_030	The Council suffers a personal data breach by inadequate	1. Trust and confidence in the Council is negatively impacted.	3	4	12	<u>Reduces Likelihood</u> 1. Ongoing corporate training for data protection. 2. Ensure all staff complete	Asst Dir Legal and Democratic	2	4	8	Amber	Feb-2020

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	handling of data or by an IT incident	<p>2. Deterioration of financial position as a result of regulatory intervention/penalties</p> <p>3. Deterioration of service performance as a result of regulatory intervention/penalties</p> <p>4. Increased probability of compensation claims by persons affected by a personal data breach.</p>				<p>the e-learning Data Protection course.</p> <p>3. Ensure that the Data Protection Policy is regularly reviewed.</p> <p>4. Ensure the Data Protection Officer is afforded the resources to discharge their statutory functions.</p> <p>5. Ensure that managers regularly remind staff of their responsibilities under data protection, including personal data breach reporting arrangements.</p> <p>6. Ensure the suite of IT policies is kept up to date.</p> <p>7. Ensure that IT security is in place and regularly tested.</p> <p><u>Reduces Impact</u></p> <p>1. Incident management procedures to mitigate loss or breach of data are in place.</p>	Services					