



Strategic Risk Register (Lewes)

Report Type: Risks Report
Generated on: 02 September 2021

Current Risk Matrix		<p>LIKELIHOOD</p> <ul style="list-style-type: none"> 1 - Unlikely 2 - Possible 3 - Likely 4 - Highly Likely 5 - Almost Certain 	<p>IMPACT</p> <ul style="list-style-type: none"> 1 - Minor 2 - Moderate 3 - Significant 4 - Major 5 - Critical
		The numbers relate to the amount of risks currently positioned in each box.	

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>	Chief Executive	2	3	6	Amber	02-Nov-2021

Code	Title	Description	Likelihood	Impact	Original Risk Score	Internal Controls	Risk Owner	Likelihood	Impact	Current Risk Score	Traffic Light	Next Review Date
						<p>2. Annual review of corporate plan and Medium-Term Financial Strategy</p> <p>3. Creating an organisational architecture that can respond to changes in the environment.</p>						
SR_022	Changes to the economic environment makes the Council economically less sustainable	<p>1. Economic development of the district suffers.</p> <p>2. Council objectives cannot be met.</p> <p>3. Council will need to provide a new service for inspecting imports at the port.</p> <p>4. Covid-19 has had a significant impact on the council's finances.</p> <p>5. The council's Recovery and Reset programme fails to meet its objectives.</p>	5	5	25	<p><u>Reduces Impact</u></p> <p>1. Robust Medium-Term Financial Strategy reviewed annually and monitored quarterly. Refreshed in line with macro-economic environment triennially.</p> <p>2. Creating an organisational architecture that can respond to changes in the environment.</p> <p>3. Working with the port authority to provide support, advice and to help explore funding options.</p> <p>4. Council seeking funding from DEFRA to set up new service for inspecting imports.</p> <p><u>Reduces Likelihood</u></p> <p>5. The council is currently in ongoing discussions with the</p>	Chief Finance Officer	4	5	20	Red	02-Nov-2021

Code	Title	Description	Likelihood	Impact	Original Risk Score	Internal Controls	Risk Owner	Likelihood	Impact	Current Risk Score	Traffic Light	Next Review Date
						<p>Ministry of Housing, Communities and Local Government around financial support to cover costs related to expenditure on responses to the Covid-19 pandemic.</p> <p>6. Regular monitoring of the progress and outcomes of the Recovery and Reset programme,</p>						
SR_023	Unforeseen socio-economic and/or demographic shifts creating significant changes of demands and expectations.	<p>1. Unsustainable demand on services.</p> <p>2. Service failure.</p> <p>3. Council structure unsustainable and not fit for purpose.</p> <p>4. Heightened likelihood of fraud.</p> <p>5. Failure to support Newhaven Port Authority in the changes could result in an economic downturn in the town.</p>	5	5	25	<p><u>Reduces Impact</u></p> <p>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).</p> <p>2. Ensuring community and interest group engagement in policy development (e.g. Neighbourhood Management Schemes; Corporate Consultation Programme)</p> <p>3. Working with the Port Authority to provide support, advice and to help explore funding options.</p>	Director of Service Delivery	3	3	9	Amber	02-Nov-2021

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						4. Council seeking funding from DEFRA to set up new service for inspecting imports which could result in new jobs						
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 standards and an increase in service costs.	4	4	16	<u>Reduces Likelihood</u> 1. Changes increase non-financial attractiveness of LDC to current and future staff. 2. Appropriate reward and recognition policies reviewed on a regular 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.	Asst Director for HR and Transformation	3	2	6	Amber	02-Nov-2021
SR_025	Not being able to sustain a culture that supports organisational objectives and future development.	1. Decline in performance. 2. Higher turnover of staff. 3. Decline in morale. 4. Increase in absenteeism. 5. Service failure	4	4	16	<u>Reduces Likelihood</u> 1. Deliver a fit for purpose organisational culture. 2. Continue to develop our performance management capability to ensure early intervention where service and/or cultural issues arise.	Asst Director for HR and Transformation	3	4	12	Amber	02-Nov-2021

Code	Title	Description	Likelihood	Impact	Original Risk Score	Internal Controls	Risk Owner	Likelihood	Impact	Current Risk Score	Traffic Light	Next Review Date
		6. Increased possibility of fraud. 7. The council's Recovery and Reset programme fails to meet its objectives.				3. Continue to develop communications through ongoing interactions with staff. 4. Regular monitoring of the progress and outcomes of the Recovery and Reset programme.						
SR_026	Council prevented from delivering services for a prolonged period of time.	1. Denial of access to property 2. Denial of access to technology/information 3. Denial of access to people	5	5	25	<u>Reduces Likelihood</u> 1. Adoption of best practice IT and Asset Management policies and procedures. <u>Reduces Likelihood and Impact</u> 2. The council 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.	Chief Executive	2	4	8	Amber	02-Nov-2021
SR_027	Council materially impacted by the medium to long term effects of an event under the Civil Contingencies Act	1. Service profile of the Council changes materially as a result of the impact of the event. 2. Cost profile of the Council changes materially	5	5	25	<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.	Chief Executive	2	3	6	Amber	02-Nov-2021

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		<p>as a result of the impact of the event.</p> <p>3. Work adversely affected by reduced staff numbers owing to effects of pandemic virus.</p> <p>4. Emergency caused by a climate change event.</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><u>Reduces Likelihood</u></p> <p>5. Adoption of, and action taken to implement, the council's Climate Change and Sustainability Strategy</p>						
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>	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. The Council has adopted and published an Asset Management Strategy (AMS) that set out how</p>	Chief Executive	2	4	8	Amber	02-Nov-2021

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						<p>the Council uses its land and property assets effectively to deliver its service and the rules by which the Council can purchase assets in the future. These strategies are updated on a yearly basis as part of the Capital and Medium-Term Financial Strategies.</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> <p>7. Ensure that fire risk regulations are adhered to and that Fire Risk Assessments are regularly reviewed.</p>						
SR_029	Commercial enterprises that are fully controlled by the authority do not deliver financial expectations or do not meet governance requirements.	<p>1. Unfamiliar activity with staff inexperienced in this area</p> <p>2. Council finances affected if projects do not meet financial expectations.</p>	5	5	25	<p><u>Reduces Likelihood</u></p> <p>1. Hire suitably qualified/experienced staff to give legal and specialist support.</p> <p>2. Ensure that projects meet core principles.</p>	<p>Director of Regeneration and Planning</p> <p>And</p> <p>Chief Executive</p>	3	3	9	Amber	02-Nov-2021

Code	Title	Description	Likelihood	Impact	Original Risk Score	Internal Controls	Risk Owner	Likelihood	Impact	Current Risk Score	Traffic Light	Next Review Date
		<p>3. Reputational damage if governance procedures are inadequate.</p> <p>4. Failure to abide by company law.</p>				<p>3. Up or re-skill staff to maximise commercial opportunities.</p> <p>4. Ensure governance processes are set up and adhered to.</p>						
SR_030	The Council suffers a personal data breach by inadequate handling of data or by an IT incident	<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 compensation claims by persons affected by a personal data breach.</p>	3	4	12	<p><u>Reduces Likelihood</u></p> <p>1. Ongoing corporate training for data protection.</p> <p>2. Ensure all staff complete 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>	Chief Executive	2	4	8	Amber	02-Nov-2021

Code	Title	Description	Likelihood	Impact	Original Risk Score	Internal Controls	Risk Owner	Likelihood	Impact	Current Risk Score	Traffic Light	Next Review Date
						6. Ensure the suite of IT policies is kept up to date. 7. Ensure that IT security is in place and regularly tested. <u>Reduces Impact</u> 8. Incident management procedures to mitigate loss or breach of data are in place.						