

# Corporate Risk Register 2017/18

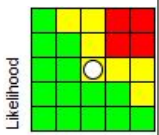
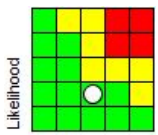
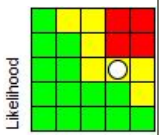
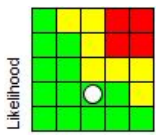
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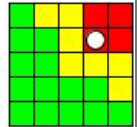
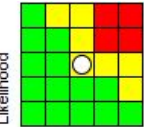
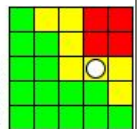
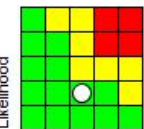
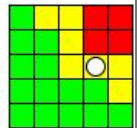
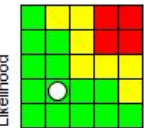


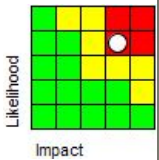
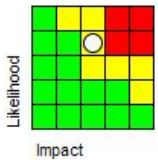
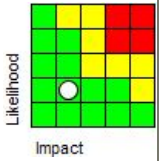
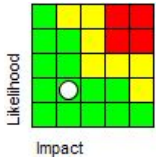
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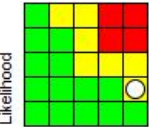
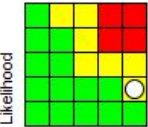
Code & Title	Description	Current Risk (Likelihood and Impact)	Risk Score	Risk Action Owner(s)	Mitigation	Target Risk (Likelihood and Impact)	Target Risk Score	Last Updated	Latest Note
CEX RR 12 Sutton Plan Delivery	Sutton plan does not deliver new approach to place based working within the borough.		12	Assistant Director Customers Commissioners and Governance	Work plan for year two developed. Leadership programme scoped and agreed, engagement work ongoing, Data sharing work being delivered.		4	16-Nov-2017	<p>The main workstreams of the Sutton Plan have all progressed over the last few weeks: DVA - a new engagement transformation coordinator has been employed and will be facilitating the work of Standing Together, who have been commissioned by SSPS to support partners with a range of engagement activity for residents. <b>Risk: depth of partnership working, concise communications across all organisations. Collaborate are set to meet with Programme leads and AD of CC&amp;G will present at DA Transformation Board 21/11 to ask for involvement in leadership programme.</b> Early help - Collaborate to support CCG lead to deliver emerging early help network (first meeting 4/12)</p> <p><b>Risk: ensuring this links into the wider public service leadership programme</b> Older People - Collaborate to support LBS and partners to discuss opportunity for partnership working considering the restructure of adult services within LBS. <b>Risk: ensuring that this draws in partners in a meaningful way and</b></p>

									<p><b>does not focus only on the council. Collaborate have been given a strong steer to this effect.</b> Resident engagement - Citizen commissioners to produce engagement report by early to mid December. Public Service Leadership Programme - Offer from CCG to develop joint leadership programme focusing on health and social care integration. <b>Risk: Programme start date not confirmed, proposal from Collaborate sent and CCG have been prompted.</b> Communications - Sutton Plan in action day runs on 27th November. All LBS comms channels have been used. Future partner comms are being reviewed with a focus now to use social media to promote the programme. LBS comms also continues to create a 'Sutton Plan' pack for partners to use in their organisations. <b>Risk: important to keep the conversation going as the programme develops and keep partners up to date.</b></p>
CORP RR 01 Corporate Health & Safety	<p>Death or injury to a service user, member of the public or member of the workforce and prosecution under the Corporate Manslaughter Act 2007 / negligence claim.</p> <p>Community schools where the Council retains the responsibility for H&amp;S but has not day to day authority for arrangements.</p> <p>Emotional and Physical risks to staff involved in emotionally demanding and lone working roles (e.g. statutory children's social work).</p>	<p>Likelihood</p> <p>Impact</p>	15	All Directorates.	<p>Health and Safety audits completed, procedures in place, training completed and service quality assurance in place</p> <p>Health and Safety policy, guidance and tools with roles and responsibilities, including compliance, set out in the 'Health and Safety Organisational Structure'. Action plans are current and managed to completion.</p> <p>Training programme, including e learning tools. Lone worker training and Corporate Warning System. Staff training needs are reviewed as part of the appraisal system.</p> <p>EH&amp;R Directorate Health and Safety committee, chaired by the Strategic Director in place with all services within the Directorate represented.</p> <p>Health and Safety is embedded in contract management for outsourced services, with risk assessments reviewed regularly</p>	<p>Likelihood</p> <p>Impact</p>	10	16-Nov-2017	<p>The Directorate H&amp;S balanced scorecards are progressing with two Directorates at 100% by the end of Quarter 2 Year 2 for all targets and only a few completed risk assessments from 100% across the whole Council for this target. This should give assurance that risks are being managed but monitoring is key and Directorate H&amp;S Committees have been given workplans as part of the monitoring arrangements.</p> <p>Accountability for deaths where a duty of care can be defined for the Council remains in place but the responsibility for the health and safety management of most of the higher risk care-related areas has been transferred to the commissioned services and providers; again, monitoring of this provision is key and the H&amp;S Team are working with the contract monitoring officers to help ensure suitable monitoring is in place.</p> <p>Community schools remain the responsibility of the Council and the H&amp;S Team provide the competent health and safety advice to all but one of these schools; the risk level for this school is higher because no monitoring information is available corporately and this will have to be sought directly from this school by the Director of Children Services.</p> <p>The emotional and physical risks to staff in areas of social work can be kept low for likelihood if the control</p>

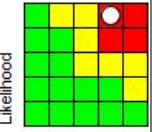
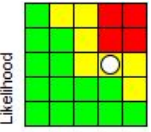
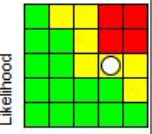
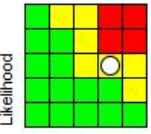
					and operational delivery monitored by client teams. Risks arising from our CDM (Construction Design Management) responsibilities in relation to the Council new build programme and the measures taken to mitigate these are regularly reviewed. This constant risk requires constant oversight at an individual staff level, first and second line managers and at a service and directorate level. Buddy systems, use of mobile technology and formal supervision are vital components of the strategy to manage this risk.				measures in the agreed risk assessments are put in place, monitored and if support mechanisms such as the employee assistance programme - Workplace Options - and management support is in place and promoted.
CORP RR 02 Breach of information governance or security	Loss of data, breach of information governance. IT failure impacting on service delivery.	 Likelihood Impact	9	All Directorates	IT business continuity plans in place, business continuity plans in place for all services. Staff trained on information governance and data protection, Discussed at team meetings. Libraries, Heritage and Arts data held at remote off site server.	 Likelihood Impact	6	09-Aug-2017	Currently lots of work taking place on the mitigation work and monitoring these activities through the ISGB. The main focus of work currently is preparation for the GDPR (General Data Protection Regulation) - Head of ICT is currently working with Legal Partnership to get an action plan on what activities the Council needs to do to meet compliance.
CORP RR 03 Voluntary and Community sector relationships	Failure to effectively manage our corporate relationship with the voluntary and community sector relationships. Failure of voluntary sector to evolve services to meet needs for prevention early intervention and build community asset base.	 Likelihood Impact	12	All Directorates	Review of Compact completed to ensure fit for purpose and reset objectives for Infrastructure & Capacity Building Fund for years 3 & 4. New objectives and programme for improvement agreed. Revised service delivery model for adult social care eg; web based support, insourcing, further commissioning with Health and links to public health commissioning. Operational good practice guidance to include motivational is founded on strengths based approach.	 Likelihood Impact	6	17-Nov-2017	Voluntary sector fully engaged with Sutton Plan and other relevant Smarter Council projects and programmes (including Adults, Childrens and Digital).  Conversations being held regarding recommissioning of VSICB fund.

<p>CORP RR 04 Savings / grant reduction</p>	<p>Insufficient resource to deliver the service or failure to meet savings targets in the medium term</p>	<p>Likelihood Impact</p> 	<p>16</p>	<p>All Directorates</p>	<p>Structured approach to identifying and delivering the required savings. Directorate savings targets agreed July 2016. Careful monitoring of progress delivering savings against plan. Reserves available to fund transformational change and to allow timing flexibility (general fund balances, risk reserve and transitional grant funding).</p>	<p>Likelihood Impact</p> 	<p>9</p>	<p>22-Nov-2017</p>	<p>Impact and likelihood mitigated by development of Sutton Plan increasing collaboration with partner organisations to achieve desired outcomes in the borough and by medium term financial planning including savings plans to contain Council expenditure within available resources.</p>
<p>CORP RR 05 Staff turnover / inability to recruit qualified and experienced staff</p>	<p>Inability to recruit and retain staff - especially during transformation programmes, and qualified social workers who want to practice in front line child protection teams.</p>	<p>Likelihood Impact</p> 	<p>12</p>	<p>All Directorates</p>	<p>In Children's Social Care, recruitment and Retention strategies are currently working and have improved vacancy rates and retention. In Adults Social Care, regular monitoring and action plans discussed at SMT with approach to develop newly qualified and prospective SW. Transformation programmes will help address continuity and retention of staff.</p>	<p>Likelihood Impact</p> 	<p>6</p>	<p>09-Aug-2017</p>	<p>Regular monitoring and action plans discussed at SMT with approach to develop newly qualified and prospective Social Workers. Transformation programmes will help address continuity and retention of staff.</p>
<p>CORP RR 07 Technology failure</p>	<p>IT failure impacting on service delivery.</p>	<p>Likelihood Impact</p> 	<p>12</p>	<p>All Directorates</p>	<p>Fail over network interconnection with Kingston now in place. Kiosking of PC access should allow access outside of Modern desktop. However arrangement with RBK is first come first served and not based on BIA rating of services. LHA have an off line back up system in place. IT business continuity plans in place, business continuity plans in place for all services.</p>	<p>Likelihood Impact</p> 	<p>4</p>	<p>24-Nov-2017</p>	<p>Use of Google ensures that we are able to operate core email and office applications outside of Modern Desktop. Work completed (and continues) to stabilised and enhance the wi-fi connections in the Council.</p> <p>Work with London Grid for learning following a number of outages with phones and network having a big impact on the Council to ensure that they have the processes and procedures in place to ensure a resilient network.</p> <p>Currently undertaking external review of requirements to drive a future ICT strategy that will enhance the journey to the cloud - which will improve resilience in both the core infrastructure and business applications - for example the move to allow access to iTrent outside Modern Desktop which has been completed. New contract with Citrix allows for some migration to the cloud that we are investigating.</p> <p>Interim assessment carried out due to risks across directorate scorecards being combined into one cross</p>

									cutting corporate level risk to ensure we have order of recovery for both Councils.
CORP RR 08 Increased demand for statutory services	Demand for services exceeds resources. Social factors such as increases in poverty, adult mental health needs, substance misuse will increase statutory demand for services. Socio-economic factors such as changing local demographics influenced by housing or benefit changes by central government for example are significant risks.		16	All Directorates	Use relevant data to track and evidence changes and ensure early warning to the organisation. Use London and national networks to articulate challenges and seek external solutions.		12	08-Dec-2017	Focus on early intervention and prevention services to reduce demand for statutory services.  Understanding of population change and impact on demand for services part of commissioning approach.
CORP RR 09 Governance of major projects & programmes	Weaknesses in the governance arrangements for the management of major projects and programmes impacting on outcomes.		4	All Directorates.	The Programmes and Projects Steering Group led by Members and supported by a Programmes and Projects Board helps ensure that key risks and issues are mitigated at an early stage. Monthly RAG rated oversight report on the Directorates major projects are reviewed monthly at the EH&R Programme Board, and reported to Commissioning Board, or Major Change Board where appropriate. Staff training needs are reviewed as part of the appraisal system. Relevant Staff are encouraged to attend the LBS Programme and Project Management Peer Network and Commissioning Network. EH&R Masterclass topics have been held on Commissioning, with a Projects Masterclass planned for the future.		4	17-Nov-2017	C&G staff have carried out a recent review of programme and project templates and updated where required. Corporate Programme project management resource expenditure currently contained within Smarter Council budget.

<p>CORP RR 11 Response to Catastrophic Incident</p>	<p>Compromised emergency management provided by the Council during a major incident*, with an inability to support the emergency services and affected community, resulting in damage to reputation, legal action and financial penalties. *A Major Incident, as defined by the Joint Emergency Service Interoperability Programme (JESIP) is: “An event or situation with a range of serious consequences which requires special arrangements to be implemented by one or more emergency responder agency.” LA incident responsibilities:</p> <ul style="list-style-type: none"> <li>• provide support to the emergency services.</li> <li>• provide support and care for the local and wider community.</li> <li>• use resources to mitigate the effects of an emergency.</li> </ul>	 <p>Likelihood</p> <p>Impact</p>	<p>10</p>	<p>All Directorates.</p>	<p>Major Emergency Response Plan / Borough Emergency Control Centre (BECC) Plan / Crisis Communications Plan have been created and successfully exercised. Annual BECC Exercise Training Programme [SLT, BECC Staff, SGLOs] to understand core competencies of emergency management and test the effectiveness of the Council’s major emergency response arrangements.</p>	 <p>Likelihood</p> <p>Impact</p>	<p>10</p>	<p>22-Nov-2017</p>	<p>Corporate/service business continuity plans (strategies to maintain services during elevated demand and disruptive incidents).</p> <p>HR resolution for on-call / stand-by arrangements to assure that officers will be available to respond 24/7. SSPS EP duty rota.</p> <p><b>To note, an effective response is reliant on all tiers of emergency management (Strategic, Tactical and Operational) being available to respond, including key suppliers commissioned and the response provided by partner emergency responders. A residual risk surrounding staff availability, resourcing, suppliers and partners remains.</b></p>
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	<ul style="list-style-type: none"> <li>• lead the recovery stage</li> <li>• continue to provide their normal day-to-day services to the local community.</li> </ul> <p><b>To note, the risk calculations are NOT based on the likelihood and impact of a major incident occurring. Scores are based on the Council's response to the major incident being ineffective.</b></p>								
<p>CORP RR 12 Alternative delivery models failure</p>	<p>The move towards a mixed economy of service delivery models (shared services, outsourcing, LATCs, spin outs). Inability to effectively contract manage commissioned services as a result of under resourcing contract management and clienting arrangements, particularly during the mobilisation and early stages of new contracts.</p>	 <p>Likelihood</p> <p>Impact</p>	<p>8</p>		<p>To carry out due diligence into the resources and governance required to client the variety of different delivery models.</p>	 <p>Likelihood</p> <p>Impact</p>	<p>6</p>	<p>08-Dec-2017</p>	

PEO RR 19 (ASC) Health & Social Care integration	Failure to extract economy and efficiency through further integration to offset cost of disruption	 <p>Likelihood</p> <p>Impact</p>	20	Nick Ireland	the models being explored are evidence based and best practice. capacity to work on integration across health and social care have been established in both LBS and CCG. Integration is integral to Sustainable and transformation plan	 <p>Likelihood</p> <p>Impact</p>	12	08-Dec-2017	the models being explored are evidence based and best practice. capacity to work on integration across health and social care have been established in both LBS and CCG. Integration is integral to Sustainable and transformation plan
RES RR 03 Welfare Reform	Risks continue around welfare reform, including reductions in working age benefits over 4 years from 2016/17. The government lowered the Benefit Cap from £25k to £23k (London), in Nov 2016.	 <p>Likelihood</p> <p>Impact</p>	12	Head of Revenues, Benefits, Insurance and Pensions	Welfare reform outreach support has been increased from 1 April 2017. Officers continue to target customers affected with one to one and directed support. The CTRS scheme is monitored closely and estimates against budgeted expenditure are produced for finance. Directed action is being taken against council aged debts in order to maximise cash collected and meet budget.	 <p>Likelihood</p> <p>Impact</p>	12	17-Oct-2017	The lower Benefit Cap £25k to £23k (London), brought an estimated 200 additional households in borough into scope. This coupled with the revised Council Tax Reduction Scheme (CTRS) to an Income Band scheme from April 2017 could mean more families face hardship. At the same time, the government is effectively reducing funding for CTRS. There is an inherent risk that council tax debt will increase creating further pressure on Council budgets.