

Risk Code	Risk Title	Description	Job Title of Risk Owner	Current Risk Likelihood	Current Risk Impact	Current Risk Score	Current Risk Matrix	Mitigation	Risk Likelihood after mitigation	Risk Impact after mitigation	Risk Score after mitigation	Risk Matrix after mitigation	Latest Update	Date Risk Reviewed and/or Updated	Risk Status Open or closed
CORP RR 11	Response to Catastrophic Incident	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. 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. This is based on the Council's capabilities to respond and recover from incidents and our capacity/response assurance for responding to short and protracted major incidents.	All Directorates	4	5	20		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. Standardisation of emergency response roles and structures across London LAs ensures mutual aid from other Boroughs can be effectively integrated into the Council response to enhance capacity. Engagement and development of community resilience to identify local voluntary/faith groups who can further support the Council and supplement resource Corporate/service business continuity plans (strategies to maintain services during elevated demand and disruptive incidents). HR resolution for on-call / stand-by arrangements to assure that officers will be available to respond 24/7. SSPS EP duty rota. Council Silver rota (AD on call) to be implemented in April/May 2019. Safer Sutton Partnership continue to effectively operate the EP Duty Officer and Local Authority Liaison Officer (LALO) rota to guarantee an initial point of contact to coordinate the incident response. All other response roles have very limited capacity and the Council, in nearly all roles, cannot respond independently of support from other Boroughs for the required 48 hours. In some roles, there is insufficient capacity to respond for 24 hours. The Council is reliant on goodwill volunteers in nearly all emergency response roles, including the London LA standardised roles. With the exception of the EPDO/LALO rota and the future Silver rota, all other response roles will not be on call. There is therefore no response assurance that officers can be contacted to provide a response.	3	5	15		The London LA standardisation programme is due to be completed September 2019. At which point, Boroughs will share common operating procedures, response structures and roles. From the central resilience fund, all Boroughs have a MoU with the British Red Cross to provide additional support to emergency centre operations. There is a London wide HR Directors group reviewing Borough emergency response role recruitment strategies and response assurance. The outcome of the project, which was initiated in April 2019, will not be available to Boroughs until Autumn 2019. Critical suppliers of the Council (SHP, Veolia and Mitie) are to be exercised during the Council's corporate BECC Exercise training programme	24/04/19	Open
PEO RR 19 (ASC)	Failure of Health & Social Care integration	Failure to extract economy and efficiency through further integration to offset cost of disruption	Assistant Director of Adult Social Services	5	4	20		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. Through the local health and care plan work hierarchy of priorities will need to be developed and mutually agreed to align with the collective limited capacity to take forward the overall ambition of local health and social care integration.	3	4	12		No Change	24/04/19	Open
PEO RR 47 (CSC)	Inability to keep vulnerable children and adults safe in Sutton	Inability to run reports from Mosaic and have necessary management information has a direct impact on our ability to keep vulnerable children and adults safe in Sutton	Assistant Director, People Services Directorate (Children's Social Care and Safeguarding) Assistant Director Customers, Commissioning and Governance	4	5	20		In Mosaic business as usual reporting is now supported by access to reporting instance rather than through live. As a backup manual spreadsheets are being used in order to report on key information which ensures key management information is available to teams	4	4	16		System review has been completed. ICT to complete an Options paper by the 8th of May 2019. A Mosaic performance and reporting board to progress action plan scheduled for the 15th of May. Paper to come to CMT to update June 2019. CHAT report infrastructure now built and can be run regularly - action plan in place to address gaps with service input.	23/04/19	Open
CORP RR 04	Non-Delivery of Savings / grant reduction	Insufficient resource to deliver the service or failure to meet savings targets in the medium term as a result of non-delivery of OBCR.	All Directorates	4	4	16		OBCR Communications and Engagement Plan Developed. Escalation to CMT via MCB Board. Structured approach to identifying and delivering the required savings. 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). Significant budget gap anticipated in 20 / 21. Outcomes Based Commissioning Reviews initiated to identify additional savings.	3	3	9		OBCR and Finance teams working together to understand savings requirement. Awaiting CMT decision on split of savings for 2022/21.	24/04/19	Open

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PEO RR 48 (E&S)	Fail to deliver requirements on Ofsted WSOA	Ofsted is not satisfied with progress made against Written Statement of Action within the allocated time frame	Assistant Director, Education and SEND	4	4	16		Joint LBS and CCG Children and Families Act Executive Board established with granular planning in place against all key actions in the plan - RAG rated and reviewed monthly	3	4	12		This remains a risk despite the significant progress made (as reported to DfE and to People Committee): it will require all key stakeholders in LBS, Cognus, Health and education settings to continue to develop and sustain good practice in accordance with the Children and Families Act and the Written Statement of Action prior to September 2019, and for parents and families to see the positive difference as a result.	24/04/19	Open
PEO RR 51 (E&S)	Inability to deliver enough secondary school places	Potential delays to the Rosehill School result in insufficient secondary school places for 2020	Assistant Director, Education and SEND	4	4	16		Work with ESFA to open school in temporary accommodation in 2020. Commission feasibility study on 3 RHL to assess capacity. Consider ways in which DfE can be supported to overcome planning issues with existing proposals. Consider engaging with secondary partnership to plan bulge class provision in the event of delays.	4	4	16		Feasibility work indicates that 3 Robin Hood Lane/Sutton Youth Centre is capable of a two year temporary solution (480 pupils). This derisks in the event of further delays but planning permission still required by November 2019 at the latest for DfE/GLT to agree to open the temp school in Sept 2020. This risk remains significant given gap between DfE proposals and pre planning advice. Contingency planning with secondary schools to start in May 2019.	24/04/19	Open
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.	All Directorates	4	4	16		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. There are a number of areas where there are growing risks to the Council's ability to meet its statutory obligations, including Homelessness, SEN provision, Homecare services and services for Looked After Children	4	3	12		No change	23/04/19	Open
CORP RR 01	Breach of Corporate Health & Safety	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. Community schools where the Council retains the responsibility for H&S but has not day to day authority for arrangements. Emotional and Physical risks to staff involved in emotionally demanding and lone working roles (e.g. statutory children's social work).	All Directorates	3	5	15		Health and safety annual targets set for each directorate that address the identified risks in that directorate. Common risks identified are personal safety, computer workstation ergonomic risks and safe contractor management. Health and Safety policy, guidance and tools with roles and responsibilities, including compliance, set out in the 'Health and Safety Organisational Structure'. Mental health support through employee assistance programme in place with monthly themes cascaded through managers. Personal Safety training and Corporate Warning System in place. Staff training needs are reviewed as part of the appraisal system. Consultation with staff through Directorate Health and Safety committees in place with all chaired by an Assistant Director (Chief Execs & Resources, People Services, and Environment Housing & Regeneration) with all services within these Directorates represented, including representative offer to Community Schools. These H&S Committees help monitor the work plans for the H&S targets. Health and Safety in contract management for outsourced services is monitored with risk assessments reviewed regularly and operational delivery monitored by client teams. Unreasonable Contact and Behaviour guidance developed to be launched with all colleagues Jan 2019	2	5	10		Risk assessment reviews being undertaken annually across the directorates. Where reviews have not been undertaken, this has been highlighted in the work plans and followed up. Personal safety arrangements undergoing a check for robustness. EH&R contract monitoring being reviewed for SLWP contracts for health and safety. Mental health campaign with supporting apps being promoted in conjunction with Public Health.	23/04/19	Open
CORP RR 14	Impact of Brexit	Disorderly or 'No Deal' Brexit, uncertainty and inability to plan or issues relating to supply chain and economy related to this. Potential for civil unrest.	All Directorates	3	4	12		Key risks for LBS are staffing for commissioned social care services and potential issues caused by supply chain and fuel shortages. Work is underway to understand the specifics of these risks and to identify contingency plans for LBS, key partners such as police and relevant providers. Participation in London-wide planning and information-sharing arrangements to mitigate uncertainty.	2	4	8		Brexit working group in place and meeting monthly to identify, address and mitigate risks where appropriate. Given risk of no deal has reduced significantly work will focus on impact of Brexit more broadly within LBS	24/04/19	Open

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CORP RR 05	Staff turnover / inability to recruit qualified and experienced staff	Inability to recruit and retain staff - especially during transformation programmes, and qualified social workers who want to practice in front line child protection teams	All Directorates	3	4	12		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.	2	3	6		No change	24/04/19	Open
CORP RR 07	Technology failure	IT failure impacting on service delivery. Lack of availability of core infrastructure and systems to enable business areas to provide services. Cyber Security - Old and unsupported operating systems, lack of staff awareness and training, cyber attack etc - leading to data loss or loss of systems for a period of time	All Directorates	3	4	12		Fail over network interconnection with Kingston now in place. However arrangement with RBK for the desktop provision is first come first served and not based on the BIA rating of services. LHA have an offline backup system in place. IT business continuity plans in place, business continuity plans in place for all services. Working with the LGA, NCSC to develop and evolve the skills needed. Cybersecurity manager leading with changing and improving Council Systems, PSN test, cyber essentials	2	2	4		Continuing to ensure that impact if technology fails is reduced. New storage currently implemented and increasing the amount of servers and systems that are available in Kingston as a failover in the event of significant failure, but currently undertaking further work with RBK and Dell on the solution as this has further grown Rollout of Chrome books has helped in the flexibility and availability of continuation of work for some areas. ensure that in the event of certain issues staff will continue to work. Digital & IT, undertaking some workshops to review the technical requirements moving forwards, including cloud based and application delivery. Number of systems being reviewed to also improve resiliency. Digital & IT have passed the Cyber Essentials criteria as well as PSN again.	24/04/19	Open
RES RR 03	Welfare Reform impact	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.	Assistant Director Business Services - Resources	3	4	12		24/04/2019 Reviewed - Welfare reform outreach support has continued even though the DWP have withdrawn funding for Universal Support. Officers continue to target customers affected with one to one and directed support. The team also work proactively with partners in the borough to ensure support is directed where needed. Partners referral process in place. The CTRS scheme is monitored closely and estimates against budgeted expenditure are produced for finance. Directed action is being taken with council tax aged debts in order to maximise cash collected and meet budget.	3	4	12		No change, although will need to monitor closely for any economic downturn following withdrawal from the EU.	24/04/19	Open
EHR RR 05	Business Continuity	Business continuity threats resulting in deterioration or suspension of critical service delivery.	Assistant Director of Environment & Community Safety (Environment, Housing and Regeneration)	2	5	10		Corporate BCM Policy and Strategy created to steer development of BCMS. Business Continuity Working Group (BCWG) set-up to further embed BC development corporately. Maintain Business Impact Assessment to drive contingency planning - directorate and corporate. Maintain integrated (emergency and service contingency) plans (Extreme Weather Plan and Emergency Call-out Plan), in conjunction with the Major Emergency Response Plan and corporate BCP.	2	5	10		No Change	24/04/19	Open
CORP RR 02	Breach of information governance or security	Loss of data, breach of information governance, particularly in light of new GDPR regulations IT failure impacting on service delivery.	All Directorates	3	3	9		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.	2	3	6		Digital and IT have renewed the PSN accreditation for the security of the network. Digital & ICT have been accredited with Cyber Essentials which demonstrates that we taking security and Information Governance seriously. All staff have undertaken the annual mandatory Infomration Governance Training. Policies and processes have been updated Training and awareness together with all staff updates and communication continues throughout the year	23/04/19	Open
CORP RR 12	Alternative delivery models failure	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.	All Directorates	2	4	8		To carry out due diligence into the resources and governance required to client the variety of different delivery models. Commissioning lead for Major Contracts, shared services and LATC to be recruited. Following collapse of Carillion a review of LBS exposure to large outsourcing organisations has been carried out and found low levels	2	3	6		Commissioning Lead for major contracts, Shared service and LATC now in post and focusing on high risk areas particularly LATCs to address issues with governance and service delivery as required	24/04/19	Open

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CORP RR 13	Sutton Plan Delivery failure	Sutton plan does not deliver new approach to place based working within the borough.	Assistant Director Customers Commissioners and Governance	2	4	8		All work for year 2 delivered on time and to budget. Feb 7th event a success, next steps agreed and progressing.	2	2	4		No Change	24/04/19	Open
EHR RR 09	Contract Failure	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.	All Directorates	2	4	8		To carry out due diligence into the resources required to manage large scale contracts to ensure suitable resources are in place. To budget a sufficient resource for contract management teams and clienting arrangements, with a consideration given to the potential for additional resource available in the mobilisation and early stages of new contracts	2	4	8		No Change	24/04/19	Open