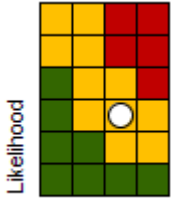




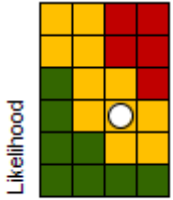




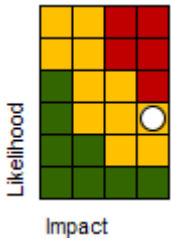




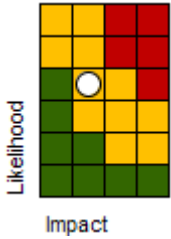




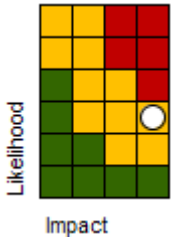




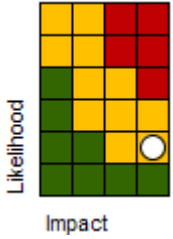






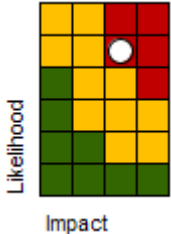




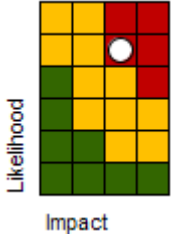




Key Strategic Risks ~ Quarter Two, 2018-19

Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
John Morgan	ASC06 / KSR78 Legal challenge ASC Placements	Key Strategic Risk	Some of our Adult Social Care placements might result in legal challenges	- shortage of suitable placements in Merton - budgetary constraints - people placed further from their support networks.	- increased costs of placements - prevention of other developments - increased staff time - additional legal costs - damage to reputation	R		<p>9  26-Sep-2018</p> <p>9  27-Jun-2018</p> <p>9  29-Mar-2018</p> <p>12  22-Jan-2018</p>	<p>We are targeting the market to fill the gap in complex placements- we try to utilise homes within the borough but at times due to availability we need to look further afield.</p> <p>All decisions regarding appropriateness and sufficiency of support are taken through the ASC outcomes forum.</p>	01 Oct 2018
Page 397 Lorraine Henry	ASC21 / KSR77 Increase in number of DoLS and Community DoL	Key Strategic Risk	We may not be able to manage the rise in Deprivation of Liberty Safeguards (DOLS) and Community DOL effectively	- A recent court ruling known as 'Cheshire West' widens the criteria for people that can be subject to a DoLS or Community DoLS (CDoLS) - The Government has not made any additional resources available	- Existing backlog of assessments awaiting completion - Cost pressure in relation to DoLS assessments which need to be undertaken - Potential of legal challenge if DoLS authorisation requests are not completed	FI		<p>9  26-Sep-2018</p> <p>9  15-Jun-2018</p> <p>12  03-Apr-2018</p> <p>12  02-Jan-2018</p>	<p>- Following a paper to DMT a robust system is now in place to manage current Dols and historic cases. This is being monitored at DMT level.</p> <p>- The backlog has reduced from 500 in Sept 17 to 380 in January 18 to 210 in September 18.</p> <p>- Community DoL- A system is in place to screen and prioritise Community DoL and this will also be reported to DMT.</p> <p>- Training is being organised, and a RAG system is being developed to identify clients that pose the most risk to the Local Authority</p> <p>- External training has been commissioned for the Best Interest Assessors (BIAs)</p>	15 Oct 2018

Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
Paul Evans	CG25 / KSR79 GDPR	Key Strategic Risk	LB Merton may not be compliant with the General Data Protection Regulation (GDPR) or Data Protection Act 2018 that came into effect on 25th May 2018	<ul style="list-style-type: none"> - insufficient time or resources to fully comply - Weaknesses in some existing and legacy IT systems - technical barriers to compliance - reliance on external suppliers 	<ul style="list-style-type: none"> - LB Merton is fined by the Information Commissioner's Office - reputational damage - key stakeholders lose confidence & may not share information / work with the Council. 	FI		12 17-Sep-2018	GDPR / DPA 2018 action plan in place and progress reported at CSDMT Information Board weekly.	17 Sep 2018
								12 11-Jun-2018		
								15 23-Mar-2018		
								15 31-Jan-2018		
Sophie Ellis	CPI18 / KSR68 TOMs delivery	Key Strategic Risk	We may not be able to deliver our TOMs across the organisation in the way we have planned	<ul style="list-style-type: none"> - Inadequate delivery planning for TOM's across the organisation - Unanticipated changes in delivery context - additional financial reductions. 	<ul style="list-style-type: none"> - Ambition set out in TOM is not achieved - Our objectives are not met 	O		4 17-Sep-2018	Impact and likelihood remain low as the TOM refresh progresses with a focus on planning for the subsequent 5 year period and delivery of previous TOMs draws to a close. MIB and CMT oversight mitigates this risk.	17 Sep 2018
								4 14-Jun-2018		
								4 20-Mar-2018		
								4 12-Dec-2017		
Sophie Ellis; Kris Witherington	CPI39 / KSR74 Inadequate consultation	Key Strategic Risk	We may fail to adequately consult over changes to Council services and policies, and/or the design and implementation of projects (formerly CS17/KSR74)	<ul style="list-style-type: none"> - inadequate consultation - not meeting expected standards - insufficient training 	<ul style="list-style-type: none"> - increasingly robust scrutiny and challenge - possibility of Judicial Reviews 	R, FI		8 19-Sep-2018	The standards expected for consultation are described in the Community Engagement Strategy ("Get Involved") which was agreed by the Merton Partnership in 2010 and refreshed in 2014. All Council consultations should be listed on the Council's online consultation database, having been approved by the Consultation and Community Engagement Team. Support for services is available including training around the need for consultation, design, and legal obligations.	17 Oct 2018
								8 13-Jul-2018		
								6 14-Jun-2018		
								6 20-Mar-2018		

Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
									2019 to ensure it complies with current best practice. In the meantime work is underway with key stakeholders to determine whether any lessons are to be learned from a recent challenge and on the basis of this the risk score and control measures will be reviewed.	
Rachael Wardell	CSF01 / KSR35 Safeguarding children	Key Strategic Risk	We may fail to adequately safeguard children	Because of: - Less effective inter-agency working - Changing expectations & updated regulatory framework - Ongoing budget pressures across all agencies	Resulting in: - Child protection & safeguarding consequences including possible child death or serious harm. - increasing costs of "high cost" interventions - undermining of the Merton Model	R	 <p>Likelihood Impact</p>	12  30-Sep-2018	Strengthened MSCB governance and development of new partnership arrangements. Refreshed the Merton CYP and Family Wellbeing Model. Ongoing rigour in conversations with partner agencies and third sector to improve understanding and responsibility of safeguarding. Launched consultation on CSC Practice Model. Signs of Safety and Think Family approaches being rolled-out. Post-Ofsted action plan fully implemented. Refresh of CYPP for 2019-22 underway ensuring effective partner buy-in and engagement.	01 Oct 2018
								12  23-Aug-2018		
12  21-Jun-2018										
12  29-Mar-2018										
Charles Baker; Anita Cacchioli	ER112 / KSR73 Waste disposal budget (Viridor)	Key Strategic Risk	We may be unable to meet financial budget for waste disposal	- Waste may not be adequately disposed of - Delays in moving over to ERF - Increase in waste forecasted - Reduction in recycling - Insufficient budget to cover disposal costs	- increased costs for waste disposal - operational difficulties - performance may be affected (more landfill, less recycling and more missed bins) - political and reputational impact	FI/R/O	 <p>Likelihood Impact</p>	8  25-Sep-2018	The commissioning phase of the new ERF facility has started. We are monitoring the level of general waste used as part of the commissioning phase which we anticipate will generate a significant reduction in our landfill disposal cost (c£450k)	25 Sep 2018
								8  13-Sep-2018		
								8  26-Jun-2018		
								8  21-Mar-2018		

Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
									The new waste collection service is due to be rolled out in Oct 2018 which is designed to increase the take up of the food waste collection and increase recycling. This will have a positive impact on our disposal cost. Full year effect will be delivered in 2019 / 2020. Risk to be reviewed once the impact of the service change can be measured.	
Paul McGarry; James McGinlay	ER118 / KSR75 Crossrail 2	Key Strategic Risk	We may fail to minimise the negative impact of Crossrail2 on the Council's income and/or commercial activity in Wimbledon Town Centre and Weir Road	- inadequate preparation and planning on our part	- financial impact on council and services - economic impact on Wimbledon Town Centre and the borough (potential loss of businesses and jobs) - Council reputation	FI		12  13-Sep-2018	Consultation has been delayed because the Treasury is reviewing the Crossrail 2 business case before this project can proceed any further. No further progress at Quarter Two (20th September 2018)	20 Sep 2018
								12  04-Jul-2018		
								12  21-Mar-2018		
								12  19-Dec-2017		
Mark Humphries	IT03 /KSR48 IT Systems	Key Strategic Risk	The 6th floor data centre may be rendered unusable	- major disruption in the civic centre	- IT failure - unavailability of IT services - negative impact on organisational service delivery.	SP		8  12-Sep-2018	- Upgrading works completed and operationally tested to confirm that the infrastructure now provides the required functionality. - A further review of the Council's DR and BC arrangements is being undertaken to ensure that agreed list of business critical systems reflects recent changes (i.e.) hosting of some of the previous on premise business systems. - Interim report being presented to CMT in second week of October 2018	01 Oct 2018
								8  13-Jun-2018		
								8  05-Mar-2018		
								8  04-Dec-2017		

Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
Caroline Holland; Mark Humphries	IT24 / KSR21 Public Contract Regulations/Contract Standing Orders	Key Strategic Risk	We might breach Public Contract Regulations 2015 and Contract Standing Orders (previously risk RE03)	<ul style="list-style-type: none"> - incorrect procurement (despite this being a tightly regulated area of council activity) - Lack of staff awareness - insufficient training and guidance 	<ul style="list-style-type: none"> - procurement exercises impacting on strategy and time - adverse budget and service implications if not carried out correctly - legal challenges - slower identification, capture and delivery of savings - reputational risk. 	R		15  12-Sep-2018	An online procurement 'toolkit' was formally launched in September 2018. This will be supported by staff training sessions in order to promote use of the Councils procurement portal and the suite of new documents and templates. This will promote and embed good practice across the organisation and significantly reduce the risk of a legal challenge due to a failure to meet the requirements of the Public Contract Regulation or Contract Standing Orders.	24 Sep 2018
								15  13-Jun-2018		
								15  05-Mar-2018		
								15  07-Dec-2017		
Page 401 Zoe Church; Caroline Holland	RE02 / KSR49 Corporate Business Plan & balanced budget	Key Strategic Risk	We may fail to develop a corporate Business Plan & set a balanced budget for 19/23 & beyond	<ul style="list-style-type: none"> - Reduction in Government Grant - challenges of making accurate projections of Business Rate Retention due to lack of clarity over future of London Pilot Pool 	<ul style="list-style-type: none"> - negative impact on service provision - damage to council reputation - negative impact on staff morale - dissatisfaction of internal & external customers 	FI		15  08-Oct-2018	Officers have completed the Business Planning Process for 2018-22 and preparing to commence the process for 2019-23. An initial report to Cabinet on 17/9 rolled forward the MTFS to 19-23 and updated the forecast with latest information and net savings targets for service departments to achieve a balanced budget over the MTFS 19-23. Currently there is a gap of £0.8 million in 2019-20 rising to £18.7m in 2022-23 (the cumulative difference over the 4 year planning period) – work will continue in line with the approved Business Plan Timetable to achieve a balanced budget for 19/20. The likelihood has been increased in light of the significant shortfall in future years.	08 Oct 2018
								12  21-Sep-2018		
								12  13-Jun-2018		
								12  06-Mar-2018		

Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
Caroline Holland	RE16 / KSR61 Annual Savings Programme	Key Strategic Risk	We might fail to deliver the savings of £30m which have been agreed for the period 2016/17 to 2019/20 (the period of budget decisions required by this council)	- we are unable to achieve planned and/or anticipated savings - projected outturns do not match actuality	- adverse impact on the authorities ability to balance its budget in the medium to long term - gap is larger than the contingency - we are required to reinstate reserves	FI		15 20-Sep-2018	The monthly monitoring report is forecasting a shortfall in savings in 18/19 of £1.5m (22% of savings target). In 17/18 savings of £2.6m were unachieved and £01.3m are an ongoing pressure and not expected to be achieved in 18/19. The projected outturn position for 18/19 is £2.7m overspend. Delivery of savings will continue to be monitored and reported in 18/19 as they are critical to balance the budget.	20 Sep 2018
								15 28-Jun-2018		
								15 19-Mar-2018		
								15 14-Dec-2017		
Page 402 Corporate Management Team	RE24 / KSR80 Impact of Brexit	Key Strategic Risk	We might be unable to respond effectively to the changes brought about by Brexit	<ul style="list-style-type: none"> - A challenging withdrawal process - Changes to procurement frameworks - Other regulatory/statutory changes - Loss of regional aid funding - Changing eligibility of EU nationals to live &/or work in UK - potential impact on staff recruitment and retention - security of supplier network - short to medium term impact on LBM's pension investments - community cohesion 	<ul style="list-style-type: none"> - Financial uncertainty - Impact on local economy, investment & growth - Employment & skills gaps - Strain on resources - Impact on services esp. social care - Difficulty complying with statutory requirements - inability to capitalise on post-Brexit opportunities <p>The risk profile assumes a Brexit deal. If no deal, the risk profile will significantly increase as a consequence of the uncertainty created</p>			12 18-Oct-2018	Officers are closely monitoring developments on the Brexit negotiations and the potential impact for the council, citizens and businesses. This includes reviewing the Technical Notices, guidance from the LGA and other sector related assessments of possible implications. A session has been held with Collective DMT to identify risks. This has been reviewed by CMT and a task group of officers from across the council has been established to monitor developments and how the Council responds. Cabinet will be considering the implications of Brexit in November and the Overview and Scrutiny Commission are reviewing the implications for citizens.	18 Oct 2018
								9 30-Aug-2018		
								9 13-Jul-2018		