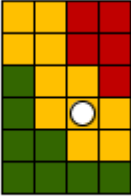




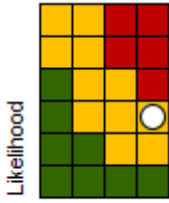




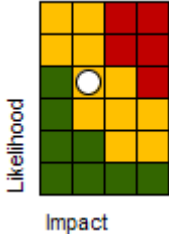






## Risk Register ~ Key Strategic Risks

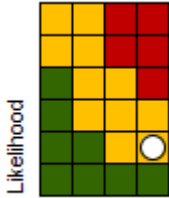




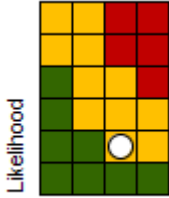




Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
Lorraine Henry	ASC21 / KSR77 Increase in number of DoLS and Community DoL as we transition to Liberty Safeguards in 2022	Key Strategic Risk	ASC21 / KSR77 Increase in number of DoLS and Community DoL as we transition to Liberty Safeguards in April 2022	<p>- A court ruling in 2014 known as 'Cheshire West' widened the criteria for people that can be subject to a DoLS or Community DoLS (CDoLS)</p> <p>- The Government has not made any additional resources available and in April 2022 DoLS will be replaced by Liberty Safeguards and we are awaiting the guidance on this.</p> <p>Due to COVID 19 the transition to Liberty Safeguards has been extended to Apr 2022.</p>	<p>- Existing backlog of assessments awaiting completion</p> <p>- Cost pressure in relation to DoLS assessments which need to be undertaken</p> <p>- Potential of legal challenge if DoLS authorisation requests are not completed in a timely manner.</p>	FI	<p>AMBER</p>  <p>Likelihood</p> <p>Impact</p>	6  28-Sep-2021	<p>The impact of new legislation cannot be fully explored until the statutory guidance has been released. This has not yet been published</p> <p>Current backlog of 282 DoLS assessments. Team managers addressing outstanding assessments with individual team members.</p> <p>Alternative measures to reduce the backlog will be explored within available budgets but capacity and resource is challenging.</p>	28 Sep 2021
								9  28-Sep-2021		
								6  25-Jun-2021		
								6  09-Apr-2021		

Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
Wise Round	CG05 / KSR79 Data Protection Compliance	Key Strategic Risk	We may fail to comply with the requirements of Data Protection legislation	- inappropriate processing, use, retention, access or inaccuracy of data - staff insufficiently aware of requirements of Act and other legislation	Harm to service users, through breach of privacy (could result in physical harm); loss of services; damage to reputation; financial impact on council through ICO fines; key stakeholders lose confidence & may not share data with the council	FI & R	<p style="text-align: center;">AMBER</p> 	12  16-Sep-2021	The council is in the process of reviewing all data protection policies to ensure they are fully compliant with the relevant legislation; We are in the process of procuring new information security training that is more aligned with the services provided by the council. The DPIA template and process is being reviewed to ensure that privacy risks are more effectively captured and managed in the procurement and project management process compliance with existing training is not good enough so the IG Officer is attending DMT's on a monthly basis to increase security uptake. Cyber security training. Robust security incident policy & reporting with quarterly security breach report submitted to IG Board & learning from incidents cascaded through weekly data security tip in the staff bulletin; Information Asset Register template has been reviewed and updated and DMTs to review quarterly to	16 Sep 2021
								12  12-Jul-2021		
								12  09-Mar-2021		
								12  16-Dec-2020		

Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
									ensure compliance & identify gaps; Updates made to Privacy Notice; ISAs etc. to cover compliance during C-19 crisis; targeted WFH security tips on C-19 bulletins, and looking into creating staff IG training videos that can be accessed on the intranet	
Page 189  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)	- inadequate consultation - not meeting expected standards - insufficient training	- increasingly robust scrutiny and challenge - possibility of Judicial Reviews	R, FI	<p style="text-align: center;">AMBER</p> 	8  31-Aug-2021	The standards expected for consultation are described in the Community Engagement Strategy ("Get Involved"). 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. Advice is also available on how to adjust consultation plans to take into account the impact of COVID-19 on traditional activities like public meetings.	08 Dec 2020
								8  08-Jun-2021		
								8  08-Mar-2021		
								8  08-Dec-2020		



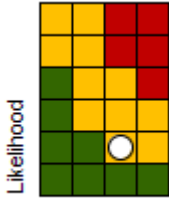




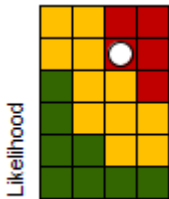




Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
									<p>The findings of all the impact research will contribute to developing the Equality Objectives for the refreshed Equality Diversity and Inclusion strategy.</p> <p>An action plan outlining Merton's response to the recommendations is being developed. The action plan will highlight outputs in the short, medium and long term.</p> <p>Black Lives Matter is a project within the Recovery and Modernisation Programme. The monthly highlight report to the board has shown good progress being made to implement measures that address the issues raised and the council's commitment to promote Equality Diversity and Inclusion.</p> <p>The Race Equality Network Staff is in discussion with senior managers on HR policy issues and developing anti-racism training. The Workforce Race Equality Standard (WRES) in Social Care pilot started in April</p>	

Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
									2021. Good progress is being made in preparing for the first data submission to the Dept. Health and Social Care on 8 October.	
Hannah Doody	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 - Increase in demand due to Covid-19, and a related reduction in through-put.	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>AMBER</p> 	8  29-Jun-2021	This risk will be replaced with 'We fail to assess risk, recognise need and to delivery effective interventions' on the new CSF Risk Register.	28 Sep 2021
								12  30-Mar-2021		
								12  28-Jan-2021		
								12  21-Oct-2020		
Charles Baker; John Bosley	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 COVID19/Brexit - recycling and RDF facilities may become harder to access in Europe	- 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>AMBER</p> 	6  21-Sep-2021	Waste volumes are reviewed monthly and financial implications of areas of growth assessed and budget forecast amended accordingly.	21 Jun 2021
								6  21-Jun-2021		
								6  23-Mar-2021		
								6  07-Jan-2021		

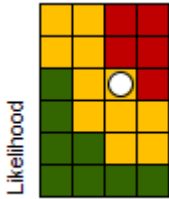




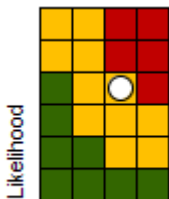




Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
Paul McGarry; James McGinlay	ER118 / KSR75 Crossrail 2	Key Strategic Risk	We may fail to minimise the negative impact of Crossrail2 on the Council's 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	<p>GREEN</p> <p>Likelihood</p> <p>Impact</p>	2  21-Sep-2021	1st request for removal as there is no movement within the Government so this can be removed from the register. If this does become a problem then it can be reinstated at a later date.	21 Sep 2021
								12  21-Jun-2021		
								12  19-Mar-2021		
								12  07-Jan-2021		
Charles Baker; John Bosley	ER132 / KSR 81 Waste services contractor	Key Strategic Risk	Veolia may fail to deliver the street cleaning and/or waste collection services to the standard required by their contract	- insufficient capacity (Veolia) - disputed areas of responsibility - financial impact of recycling market changes which adversely affect Veolia - lack of ICT integration and real time information - poor management by Veolia	- reputational damage to the Council - negative environmental impacts - negative public health impacts	R	<p>AMBER</p> <p>Likelihood</p> <p>Impact</p>	6  21-Sep-2021	Our service provider has been able to provide a full operational service during these testing times.  Staffing levels and deployed resource is monitored daily along with the level of agency staff being utilised.  There are now problems with HGV drivers and this is to be covered by a separate risk. This has now affected waste collections within the Partnership.	21 Sep 2021
								6  21-Jun-2021		
								6  23-Mar-2021		
								6  04-Feb-2021		

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 McGarry	ER153/ KSR84 Implementation of the Climate Action Plan	Key Strategic Risk	May be unable to implement a fit for purpose action plan	Due to the complexities and uncertainties of achieving decarbonisation, there are a number of potential causes: (a) National policy framework is uncondusive to local action (either through an ineffective policy framework or through lack of finance) (b) Lack of robust evidence/ expertise to assess greenhouse gas emissions and track progress (c) The estimated costs of implementing the actions are very high or very uncertain (d) Lack of control over the majority of emissions and therefore a reliance on behaviour change of Merton's residence and businesses (e) Lack of commitment/ resources of key Officers in all departments who would need to commit to actions and subsequently implement them	Failure to get an action plan which was fit for purpose may result in Merton not playing its part in mitigating the dangerous effects of climate change – as set out in the declaration of a climate emergency that was unanimously passed at Council. It would also mean not delivering against commitments set out in the (revised) Climate Change Act and the Mayor's 1.5 degree compatible climate action plan. This may result in a loss of public confidence and reputation damage for Merton council.	FI/ R	<p style="text-align: center;">RED</p>	<table border="1"> <tr> <td>16</td> <td></td> <td>23-Sep-2021</td> </tr> <tr> <td>16</td> <td></td> <td>21-Jun-2021</td> </tr> <tr> <td>16</td> <td></td> <td>25-Mar-2021</td> </tr> <tr> <td>16</td> <td></td> <td>07-Jan-2021</td> </tr> </table>	16		23-Sep-2021	16		21-Jun-2021	16		25-Mar-2021	16		07-Jan-2021	Awaiting further update	23 Sep 2021
16		23-Sep-2021																				
16		21-Jun-2021																				
16		25-Mar-2021																				
16		07-Jan-2021																				



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 McGarry	ER154 / KSR 82 Mitcham Bridge	Key Strategic Risk	Structural risk to the damaged bridge structure and Financial risk re. repair or replacement of the bridge	1.Continued adverse weather. 2.Another flood event 3.TBC, if the current bridge cannot be saved. 4.TBC. whether fault is the flood, a contractor liability or employer liability. 5.Lack of comms or visible action on-site. 6.Ongoing disruption to motorists and public transport users.	1. Flood risk to properties 2.Structural risk to the damaged bridge structure 3.Financial risk re. repair or replacement of the bridge 4.Litigation – risk of contractual disputes. 5.Reputational risk on LBM 6.Traffic & Transport and safety of pedestrians on the remaining footbridge.	FI, R	AMBER 	6  23-Sep-2021	The Bridge is nearing completion of construction with the only delay due to the reinstatement of utilities. The bridge is planned to be open in the next month.	23 Sep 2021
								12  21-Jun-2021		
								12  25-Mar-2021		
								16  07-Jan-2021		
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)	- incorrect procurement (despite this being a tightly regulated area of council activity) - Lack of staff awareness - insufficient training and guidance	- 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	RED 	15  09-Jun-2021	A review and update of Contract Standing Orders has been completed and awaiting approval at the next full Council meeting. A drive to improve compliance with legislative requirements is being further supported through the introduction of specialist procurement training and regular workshops for those individuals who are responsible for procurement as part of their normal duties.	09 Jun 2021
								15  01-Mar-2021		
								15  14-Dec-2020		
								15  30-Sep-2020		

Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
Mark Humphries; Richard Warren	IT30/ KSR83 Risk of Cyber attack on the Council's IT Infrastructure and Systems	Key Strategic Risk		Cyber attack	Financial, Reputational, Loss of Service – All of these areas would potentially be very severely impacted and affected.	R	<p style="text-align: center;">RED</p> <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	16  07-Sep-2021	Risk rating increased for this period on the basis that the frequency of cyber security attacks is generally increasing globally and therefore there is a greater likelihood that the Council will have to deal with an incident. However additional security measures and resources have been approved by CMT and are in the process of being implemented which should mitigate some of the current risk.	09 Jun 2021
								16  09-Jun-2021		
								12  01-Mar-2021		
								12  08-Feb-2021		
Caroline Holland; Roger Kershaw	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	- Reduction in Government Grant - challenges of making accurate projections of Business Rate Retention due to lack of clarity over future of London Pilot Pool	- negative impact on service provision - damage to council reputation - negative impact on staff morale - dissatisfaction of internal & external customers	FI	<p style="text-align: center;">RED</p> <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	18  10-Sep-2021	The 2021/22 budget and MTFS includes some provision for the ongoing impact of COVID-19 and the problem of the DSG deficit is still unresolved. Whilst it is still uncertain how long the pandemic will last and DSG is not sorted out the risk remains at the same high level.  The MTFS is being reviewed, re-priced and rolled forward a year and will be reported to Cabinet in October 2021. Covid-19 and the DSG deficit remain ongoing pressures. A budget gap of c. £18m in 2025/26 will require	10 Sep 2021
								18  14-Jun-2021		
								18  10-Mar-2021		
								18  15-Dec-2020		

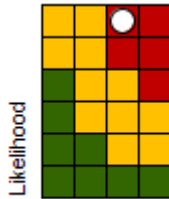




Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided	
									savings to produce a balanced budget and means that the risk level remains high.		
Caroline Holland; Roger Kershaw	RE20/ KSR21 Impact of COVID-19 on the Council	Key Strategic Risk	Disruption to Merton Council Services from COVID 19	COVID 19 has and continues to impact on service delivery and the generation of income to fund operations	<ul style="list-style-type: none"> <li>- Need to identify and quantify the impact on service delivery and income. This impact needs to be monitored much more frequently than standard risks.</li> <li>- Need to re-cast MTFS to assess longer term impact as implications are identified.</li> <li>- Need to identify additional savings to bridge the gap in finances.</li> <li>- Damage to reputation</li> </ul>	FI	<p style="text-align: center;">AMBER</p> 	12  16-Sep-2021	Silver Group meeting routinely to manage the issues emerging.	31 Mar 2021	
								12  15-Jun-2021			COVID Risk Log created in March 2020. Managers review risks fortnightly and DMTs and CMTs review the register regularly.
								12  31-Mar-2021			
								12  02-Nov-2020			Additional savings have been identified. We are continuing to monitor impact on services from the Covid pandemic.
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"> <li>- A challenging withdrawal process</li> <li>- Changes to procurement frameworks</li> <li>- Other regulatory/statutory changes</li> <li>- Loss of regional aid funding</li> <li>- Changing eligibility of EU nationals to live &amp;/or work in UK</li> <li>- potential impact on staff recruitment and retention</li> <li>- security of supplier network</li> <li>- short to medium term impact on LBM's</li> </ul>	<ul style="list-style-type: none"> <li>- Financial uncertainty</li> <li>- Impact on local economy, investment &amp; growth</li> <li>- Employment &amp; skills gaps</li> <li>- Strain on resources</li> <li>- Impact on services esp. social care</li> <li>- Difficulty complying with statutory requirements</li> <li>- inability to capitalise on post-Brexit opportunities</li> </ul> <p>The risk profile assumes a Brexit deal. If no deal, the risk profile will significantly increase as a</p>	FI, SP, O	<p style="text-align: center;">AMBER</p> 	12  16-Sep-2021	Officers are continuing to monitor the impact from the Brexit deal. Part of the challenge is some of the impacts have been masked by the Covid pandemic.	16 Sep 2021	
								12  07-Jun-2021			
								12  01-Mar-2021			
								12  09-Dec-2020			

Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
				pension investments - community cohesion	consequence of the uncertainty created.					

## Issues Register ~ Key Strategic Issues

Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
Hannah Doody	CSF04 / KSR55 Demographic changes	Key Strategic Issue	We may fail to respond adequately to increasing special educational needs and children's social care demands	Due to changing borough demographics including: - an increase in the total population in the borough - a particular increase in families with young children - a change in the mix of the population with respect to ethnicity, disability & deprivation - an increase in children with special educational needs and disabilities. Due to impact of Covid Growth in demand taking place in context of pressures on budgets - specifically savings targets of £2.8m for 19/20.	This will lead to: - Additional demand for services for children with special educational needs & disabilities - pressure for growth in children's social care & child protection interventions - increasing level of support for families with no recourse to public funds. - Budget pressures	SP	<p style="text-align: center;">RED</p> <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	20  29-Jun-2021	'After reviewing and collating a new CSF Risk Register, this risk is no longer required due to demographic change being picked up as causes in other risks.	28 Sep 2021
								20  30-Mar-2021		
								20  28-Jan-2021		
								12  21-Oct-2020		
Jane McSherry	CSF05 / KSR34 Over-reliance on Independent Special School Market	Key Strategic Issue	Risk of over-reliance on independent special school market driving up costs of specialist placements.	This is because: - EHCP numbers are increasing significantly and - we are reaching the limits on our in-borough maintained capacity in ARPs and special schools	- inability to meet statutory duty to children with additional needs through maintained local provision and more children needing to travel out of borough for their education - increased costs in independent sector special school places - increase transport costs to placements	R	<p style="text-align: center;">RED</p> <p style="text-align: center;">Likelihood</p> <p style="text-align: center;">Impact</p>	16  29-Jun-2021	This risk will be replaced by 'Supporting Children with additional needs' in the new CSF risk register.	28 Sep 2021
								16  30-Mar-2021		
								16  28-Jan-2021		
								16  21-Oct-2020		

Risk Owner	Code & Name	Risk or Issue	Risk Description	Cause(s)	Consequence(s)	Impact code	Matrix	Current Score & Review History	Control Actions	Date provided
					outside the borough - increased scrutiny from DfE due to overspend					
Children, Schools & Families	CSF06 / KSR56 Increased Demand in the Context of Budget Pressures	Key Strategic Issue	Risk to effective delivery of statutory functions within allocated budget	Increase demand for our services across Children's Social Care and Education (SEND) Budget pressures including saving targets and changes to national funding mechanisms especially high needs funding which is not keeping track with demand and changes to rules on DSG overspend increase potential impact.	Leading to: - DSG overspend and related impact on council budget - Negative impact on our ability to provide statutory services across Children Social Care and Education (SEND) and associated poorer outcomes for Merton children and families	FI	<p>RED</p>	16  30-Sep-2021	After reviewing and collating a new CSF Risk Register, this risk is no longer required due to risk being covered in other risks. Please remove.	30 Sep 2021
								16  29-Jun-2021		
								16  30-Mar-2021		
								16  28-Jan-2021		
Hannah Doody	CSF09 / KSR62 Intervention/ prevention commissioning	Key Strategic Issue	We may fail to recommission appropriate intervention and prevention services	Due to: - Reduction in contracting with local third sector - Roles and responsibilities between PH commissioning team and CSF service leads	Resulting in: - Destabilisation of the Local Strategic Partnership & Children's Trust Board partnership arrangements - reduced service delivery - an increase in reactive, rather than pro-active, services - adverse reputational impact - political impact	R	<p>AMBER</p>	12  29-Jun-2021	Risk to be replaced: This risk will be replaced by 'Risk that introduction of multi-agency processes supporting the revised Early Help system are unclear and/or ineffective'	28 Sep 2021
								12  30-Mar-2021		
								12  28-Jan-2021		
								12  21-Oct-2020		

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; Ellis Kelly	RE16 / KSR61 Annual Savings Programme	Key Strategic Issue	Failure to deliver savings of £6.903m which have been agreed for the financial year 2021/22	We are unable to achieve planned savings due to the impact of Covid-19 and various service specific issues	<ul style="list-style-type: none"> <li>- adverse impact on the authority's ability to balance its budget in the medium to long term</li> <li>- gap is larger than the contingency</li> <li>- we are required to reinstate reserves</li> </ul>	FI	<p>RED</p>  <p>Likelihood</p> <p>Impact</p>	18  27-Aug-2021	P4 monitoring shows a shortfall on 21/22 savings of £2.891million (41.9%). Delivery of savings continues to be carefully monitored and reported as they are critical to balance the budget.	10 Sep 2021
								18  16-Jun-2021		
								18  03-Mar-2021		
								18  16-Dec-2020		

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