

## All Corporate and Strategic risk summary

Risk Ref	Description	Last Quarter Score	This Quarter Score	Movement	Review Date	Quarter of Last Change	Score Before Change
AHSR0013	<p><b>Risk (Threat):</b> Loss of access to public health and other datasets</p> <p>Risk Appetite level: 8 Risk Response: Treat</p>	12	8	▼ -4	Dec-19	Sep-19 (Quarter 3)	12
AHSR0014	<p><b>Risk (Threat):</b> The cost of Sexual Health GUM services (mandatory payments) may exceed expected amount / budget</p> <p>Risk Appetite Level: 8 Risk response: Treat</p>	16	16	◀ ▶	Dec-19	Oct-17 (Quarter 4)	16
AHSR0015	<p><b>Risk (Threat):</b> Increase (widening) in health inequalities as a result of austerity, cuts to public services and prevention services.</p> <p>Risk Appetite Level: 8 Risk Response: Treat</p>	24	24	◀ ▶	Nov-19	Apr-19 (Quarter 2)	24
AHSR0016	<p><b>Risk (Threat):</b> Financial impact of Pre-exposure Prophylaxis for HIV (PReP) Impact trial</p> <p>Risk Appetite level: 8 Risk Response: Treat</p>	16	16	◀ ▶	Nov-19	Apr-19 (Quarter 2)	16
AHSR0017	<p><b>Risk (Threat):</b> ASC - Increasing demand for Adults Social Care negatively impacts delivery of statutory obligations and customer outcomes</p> <p>Risk Appetite Level: 8 Risk Response: Treat</p>	16	12	▼ -4	Nov-19	Aug-19 (Quarter 3)	12
AHSR0018	<p><b>Risk (Threat):</b> Legal challenge in relation to Deprivation of Liberty Safeguards (DoLS)</p> <p>Risk Appetite level: 8 Risk Response: Tolerate and monitor</p>	8	8	◀ ▶	Nov-19	May-19 (Quarter 2)	8

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AHSR0019	<b>Risk (Threat):</b> Failure to integrate Health and Social Care services across South East London  Risk Appetite level: 8 Risk Response: Treat	8	8	◀ ▶	Aug-19	-	-
AHSR0020	<b>Risk (Threat):</b> Inability to agree the financial envelope required for the integration of Health and Social care services  Risk Appetite level: 8 Risk Response: Treat	8	8	◀ ▶	Aug-19	-	-
AHSR0021	<b>Risk (Threat):</b> Lack of engagement from health and social care providers in terms of integrating services  Risk Appetite Level: 8 Risk Response: Treat	8	8	◀ ▶	Aug-19	-	-
AHSR0022	<b>Risk (Threat):</b> Health and social care services destabilised  Risk Appetite Level: 8 Risk Response: Tolerate and Monitor	8	8	◀ ▶	Aug-19	-	-
AHSR0023	<b>Risk (Threat):</b> Residents unable to access STI self-sampling kits via SHLonline may instead go to a sexual health clinic - the cost of a clinic attendance is 3-4 times more expensive than online testing		12	New	Dec-19	-	-
CCAS0028	<b>Risk (Threat):</b> Funding cuts and reduced resources negatively impact the achievement of the waste strategy outcomes  Risk Appetite level: 8 Risk Response: Tolerate	6	6	◀ ▶	Jul-19	Sep-18 (Quarter 3)	6
CCAS0035	<b>Risk (Threat):</b> Failure to plan for an Increase in civil unrest anti-social behaviour and crime  Risk Appetite Level: 8 Risk Response: Treat	12	12	◀ ▶	Sep-19	Mar-19 (Quarter 1)	12

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CRLDS0002	<p><b>Risk (Threat):</b> Adequate / consistent use of Legal Services - Colleagues not consulting with and involving Legal services in key projects/initiatives at the right time</p> <p>Risk Appetite Level: 4 Risk Response: Tolerate</p>	4	4	◀ ▶	Aug-19	Jun-17 (Quarter 2)	4
CRLDS0008	<p><b>Risk (Threat):</b> Service areas develop own standards and processes that may not be compliant with GDPR regulations</p> <p>Risk Appetite level: 4 Risk Response: Treat</p>	8	4	▼ -4	Dec-19	Sep-19 (Quarter 3)	4
CRLDS0009	<p><b>Risk (Threat):</b> Increased number or severity of data breaches</p> <p>Risk Appetite level: 4 Risk response: Treat</p>	8	6	▼ -2	Dec-19	Sep-19 (Quarter 3)	6
CRLDS0010	<p><b>Risk (Threat):</b> Council not protecting information; nor using info to support business decisions</p> <p>Risk Appetite level: 8 Risk Response: Treat</p>	8	8	◀ ▶	Oct-19	Jun-19 (Quarter 2)	8
CSSR0001	<p><b>Risk (Threat):</b> Welfare of children not adequately safeguarded and promoted (practice risk)</p> <p>Risk Appetite level: 8 Risk Response: Treat Risk Control Assurance level: Amber</p>	12	8	▼ -4	Dec-19	Sep-19 (Quarter 3)	8
CSSR0002	<p><b>Risk (Threat):</b> Potential Increase in Looked After Children numbers and demand for specialist children's social care services and/or increase in cost of placements (finance risk)</p> <p>Risk appetite level: 8 Risk Response: Treat Risk Control Assurance Level: Amber</p>	16	16	◀ ▶	Dec-19	Aug-19 (Quarter 3)	16

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CSSR0004	<p><b>Risk (Threat):</b> Youth Offending Service - Failure to address the areas identified for improvement in the 2019 HMIP inspection</p> <p>Risk appetite Level: 8 Risk Response: Treat Risk Control Assurance Level: TBC</p>	12	8	▼ -4	Dec-19	Sep-19 (Quarter 3)	8
CSSR0005	<p><b>Issue (Issue):</b> High and increasing levels of Youth Violence in the borough</p>	32	32	◀ ▶	Aug-19	Sep-18 (Quarter 3)	32
CSSR0006	<p><b>Risk (Threat):</b> The scale of the requirements arising from IICSA is so extensive and complex, the organisation is not able to respond effectively</p> <p>Risk Appetite Level: 4 Risk Response: Treat</p>	12	12	◀ ▶	Aug-19	Mar-17 (Quarter 1)	12
CSSR0008	<p><b>Risk (Threat):</b> Pupil Place Planning - pupil numbers increase/decrease impacts on services and budgets</p> <p>Risk Appetite Level:8 Risk Response: Treat</p>	12	12	◀ ▶	Mar-20	May-19 (Quarter 2)	12
CSSR0009	<p><b>Risk (Threat):</b> Local Area SEND inspection has a poor outcome; increasing number of pupils eligible for SEND assessment and support do not get needs met</p>	12	12	◀ ▶	Aug-19	May-19 (Quarter 2)	12
CSSR0010	<p><b>Risk (Threat):</b> The possibility of a number of schools, particularly secondary schools, achieving less well than other schools nationally and locally</p> <p>Risk Appetite level: 8 Risk Response: Treat</p>	16	16	◀ ▶	Sep-19	Feb-19 (Quarter 1)	16

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CSSR0011	<p><b>Risk (Threat):</b> Increase in exclusions and decrease in attendance results in reduced achievement of children and young people in Lambeth</p> <p>Risk Appetite Level: 8 Risk Response: Treat</p>	12	12	◀ ▶	Nov-19	May-19 (Quarter 2)	12
CSSR0012	<p><b>Risk (Threat):</b> Increased terrorism threat and failure to meet the requirements of Counter Terrorism and Security Act 2015</p> <p>Risk Appetite Level: 8 Risk Response: Treat</p>	16	16	◀ ▶	Nov-19	Jan-18 (Quarter 1)	16
CSSR0014	<p><b>Risk (Threat):</b> Setting and managing a viable budget whilst delivering savings (Children's Services General Fund)</p>	12	12	◀ ▶	Aug-19	May-19 (Quarter 2)	12
DCSC0008	<p><b>Risk (Threat):</b> Systems in place do not enable improvements to social work practice (enabling systems risk)</p> <p>Risk Appetite Level: 4 Risk Response: Treat Risk Control Assurance Level: Amber</p>	8	12	▲ 4	Dec-19	Sep-19 (Quarter 3)	12
ECBCS0034	<p><b>Risk (Threat):</b> CORE BUILDINGS - Non compliance with Health and Safety legislation across core Lambeth buildings.</p> <p>*Excludes Housing and Commercial property</p>	4	4	◀ ▶	Nov-19	Jun-14 (Quarter 2)	4
ECBCS0038	<p><b>Risk (Threat):</b> CORE BUILDINGS - Corporate Fire Risk (for LBL core buildings)</p>	8	8	◀ ▶	Feb-20	May-17 (Quarter 2)	8
ECBCS0040	<p><b>Risk (Threat):</b> CORPORATE H&amp;S - Asbestos, Gas and Water Quality Management</p>	6	6	◀ ▶	Feb-20	Feb-10 (Quarter 1)	6

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Risk Ref	Description	Last Quarter Score	This Quarter Score	Movement	Review Date	Quarter of Last Change	Score Before Change
ECBCS0042	<p><b>Risk (Threat):</b> Inadequate governance and control of Purchase Cards</p> <p>Risk Appetite level: 4 Risk Response: Treat</p>		16	New	Oct-19	-	-
ECIS0001	<p><b>Risk (Threat):</b> Failure of a major contractor or supplier which could materially affect the delivery of the service or have significant financial impact. * This risk is owned by Directors Network.</p> <p>Risk appetite level: 8 Risk Response: Tolerate &amp; closely monitor through due diligence Risk Control Assurance Level: Green</p>	16	16	◀ ▶	Oct-19	Jan-18 (Quarter 1)	16
ECIS0006	<p><b>Risk (Threat):</b> Deliberate procurement fraud or evasion of Standing Orders/procurement regulations</p> <p>Risk Appetite Level: 4 Risk Response: Tolerate &amp; closely monitor Risk Control Assurance: TBC</p>	8	8	◀ ▶	Oct-19	Nov-17 (Quarter 4)	8
ECIS0018	<p><b>Risk (Threat):</b> General fund expenditure will exceed the budget and income targets will not be achieved.</p> <p>Risk Appetite Level: 8 Risk Response: Tolerate &amp; monitor</p>	8	6	▼ -2	Nov-19	Aug-19 (Quarter 3)	6
ECIS0020	<p><b>Risk (Threat):</b> Unwitting failure to comply with Procurement legislation and/or Council Standing Orders due to a lack of awareness/understanding/training</p> <p>Risk Appetite Level: 8 Risk Response: Tolerate &amp; monitor</p>	8	8	◀ ▶	Oct-19	Sep-18 (Quarter 3)	8
ECIS0031	<p><b>Risk (Threat):</b> Failure to manage the impact of changes in local government funding arrangements</p> <p>Risk Appetite Level: 8 Risk Response: Tolerate &amp; monitor Risk Control Assurance: TBC</p>	8	8	◀ ▶	Mar-20	Mar-19 (Quarter 1)	8

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ECIS0038	<p><b>Risk (Threat):</b> Significant failure or underperformance of key service due to poor contract management *This risk is jointly owned by Directors Network</p> <p>Risk Appetite Level: 8 Risk Response: Treat Risk Control Assurance: TBC</p>	12	12	◀▶	Oct-19	Nov-17 (Quarter 4)	12
ECIS0041	<p><b>Risk (Threat):</b> Risk of internal fraud</p> <p>Risk Appetite Level: 4 Risk Response: Tolerate and monitor Risk Control Assurance Level: Green</p>	8	8	◀▶	Feb-20	Mar-19 (Quarter 1)	8
ECIS0062	<p><b>Risk (Threat):</b> Historic abuse redress: inability to provide the redress scheme within the available financial envelope</p> <p>Risk Appetite level: 8 Risk Response: Treat</p>	8	8	◀▶	Nov-19	Feb-18 (Quarter 1)	8
ECIS0063	<p><b>Risk (Threat):</b> Outcome of current HMRC Customer engagement audit results in Fines and Penalties</p> <p>Risk Appetite level: 8 Risk Response: Treat</p>	4	4	◀▶	Nov-19	May-19 (Quarter 2)	4
HM0031	<p><b>Risk (Threat):</b> Number of homeless residents increase (above London average) and more families are placed in temporary accommodation</p> <p>Risk Appetite Level: 12 Risk Response: Treat</p>	16	12	▼ -4	Dec-19	Sep-19 (Quarter 3)	12
HM0032	<p><b>Risk (Threat):</b> Failure to develop/deliver a comprehensive Temporary Accommodation (TA) Strategy that increases the supply of council owned TA.</p>	8	8	◀▶	Dec-19	Sep-18 (Quarter 3)	8

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HM0034	<p><b>Risk (Threat):</b> Not improving the management of the capital contracts could result in the non-delivery of Housing Capital Programme to agreed budget and performance indicators</p> <p>Risk Appetite Level: 8 Risk Response: Treat</p>	8	8	◀▶	Dec-19	Feb-17 (Quarter 1)	8
NGSR0024	<p><b>Risk (Threat):</b> Loss of investment - (Sustainable Growth and Opportunity)</p>	16	24	▲ 8	Feb-20	Sep-19 (Quarter 3)	16
NGSR0027	<p><b>Issue (Issue):</b> Failure to deliver the estate regeneration programme (Homes for Lambeth) to plan which would have impacts on the Council's ability to deliver more and better homes as well as implications for the long term management and maintenance of selected estates.</p> <p>The other key element of this risk is that 150m is being invested in the Homes for Lambeth programme and the return on investment could be under threat if the regen programme is not delivered to plan.</p>	16	24	▲ 8	Nov-19	Aug-19 (Quarter 3)	24
NGSR0028	<p><b>Risk (Threat):</b> Non achievement of affordable housing delivery targets (new homes)</p> <p>Risk Appetite Level: 16 Risk Response: Treat</p>	8	8	◀▶	Jul-19	May-16 (Quarter 2)	8
NGSR0031	<p><b>Risk (Threat):</b> Failure to deliver key transformation schemes (including Somerleyton Road &amp; Brixton Rec)</p> <p>Risk appetite level: 8 Risk response: Treat</p>	12	12	◀▶	Jul-19	-	-
OCECC0014	<p><b>Risk (Threat):</b> Failure to effectively monitor the Borough Plan outcomes</p>	12	8	▼ -4	Sep-19	Jul-19 (Quarter 3)	8



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OCECC0016	<b>Risk (Threat):</b> Failure to manage the Council's overall reputation	8	8	◀▶	Sep-19	Aug-17 (Quarter 3)	8
OCECC0018	<b>Risk (Threat):</b> Reputational damage for the organization relating to the historic child sex abuse / SOSA	8	8	◀▶	Sep-19	Aug-17 (Quarter 3)	8
OCECC0019	<b>Risk (Threat):</b> Reputational damage for the organisation relating to Estates Regeneration Programme	6	6	◀▶	Sep-19	Aug-17 (Quarter 3)	6
OCEHR0008	<b>Risk (Threat):</b> Industrial action caused by breakdown in relations with trade union.	8	8	◀▶	Dec-19	Jun-19 (Quarter 2)	12
OCEHR0027	<b>Risk (Threat):</b> Loss of expertise to deliver Council outcomes  Risk Appetite level: 8 Risk Response: Treat Risk Control Assurance Level: TBC	8	8	◀▶	Dec-19	Jun-19 (Quarter 2)	8
OCEHR0029	<b>Risk (Threat):</b> Failure to effectively manage the Council's use of agency workers.  Risk Appetite Level: 8 Risk Response: Treat	8	8	◀▶	Dec-19	Mar-16 (Quarter 1)	8

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OCEHR0041	<p><b>Risk (Threat):</b> Significant impact of IR35 tax reforms on Council resources (human and financial resources)</p> <p>Risk Appetite level: 8 Risk Response: Treat</p> <p>There is three main risks that require mitigation</p> <p>1) Failure to comply with new IR35 legislation (which comes into effect on 6th April 2017) 2) Loss of a significant number of contractors who fall within the new IR35 criteria (as contractors could experience a 25% decrease in net income and opt to leave the public sector) 3) Increased costs of keeping contractors at increased rates (to offset the 20-25% decrease in contractors net income caused by the reforms)</p>	4	4	◀▶	Feb-20	Apr-18 (Quarter 2)	4
OCEHR0046	<p><b>Risk (Threat):</b> CORPORATE H&amp;S - Failure to provide adequate corporate Health and Safety advice and guidance</p> <p>Risk Appetite level: 4 Risk Response: Treat</p>	8	8	◀▶	Jun-19	Feb-10 (Quarter 1)	8
PBI0001	<p><b>Risk (Threat):</b> Continued underperformance of dealing with Subject Access Requests (SAR's) results in negative effects</p> <p>Risk Appetite Level: 4 Risk Response: Treat</p>	16	16	◀▶	Nov-19	Oct-16 (Quarter 4)	16
PBI0002	<p><b>Risk (Threat):</b> Underperformance of dealing with complaints and ME's results in negative effects</p> <p>Risk appetite level: 8 Risk response: Treat</p>	12	8	▼ -4	Sep-19	Aug-19 (Quarter 3)	12
PBI0003	<p><b>Risk (Threat):</b> Failure to keep current level of performance in dealing with Freedom of Information requests (FOIs) results in negative effects.</p>	4	4	◀▶	Nov-19	Apr-19 (Quarter 2)	4

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RSDR0002	<b>Risk (Threat):</b> 2017-2022 Air Quality Action Plan not delivered  Risk appetite level: 8 Risk Response: Tolerate at current level (4)	4	4	◀ ▶	Dec-19	Jul-18 (Quarter 3)	4
RSDR0003	<b>Risk (Threat):</b> Reduction in Council Tax collected (£/%) (linked to risk ECIS0031 Failure to manage reduction in income streams).  Risk Appetite Level: 8 Risk Response: Treat	6	6	◀ ▶	Mar-20	Mar-17 (Quarter 1)	6
RSDR0004	<b>Risk (Threat):</b> Reduction in National Non-domestic Rates collected (£/%) (Linked to risk ECIS0031 failure to manage reductions in income streams)  Risk Appetite Level: 8 Risk Response: Treat	8	8	◀ ▶	Mar-20	Apr-15 (Quarter 2)	8
RSDR0005	<b>Risk (Threat):</b> Total or significant partial loss of core business systems during key period of operation  Risk Appetite level: 8 Risk Response: Treat	32	12	▼ -20	Dec-19	Aug-19 (Quarter 3)	12
RSDR0006	<b>Risk (Threat):</b> Cyber attack with resulting compromise of personal information  Risk Appetite Level: 8 Risk Response: Treat	16	16	◀ ▶	Dec-19	Jun-18 (Quarter 2)	16
RSDR0007	<b>Risk (Threat):</b> The Housing Revenue Account goes into deficit  Risk Appetite Level: 8 Risk Response: Treat	4	4	◀ ▶	Dec-19	Oct-17 (Quarter 4)	4

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RSDR0008	<p><b>Risk (Threat):</b> The inability to meet the demand for temporary accommodation</p> <p>Risk appetite level: 8 Risk Response: Treat Risk Control Assurance Level: TBC</p> <p>Note: the financial aspects of this risk are captured under the corporate general fund risk.</p>	16	8	▼ -8	Dec-19	Sep-19 (Quarter 3)	16
RSDR0009	<p><b>Risk (Threat):</b> HOUSING - Failure to comply with all Health &amp; Safety legislation regarding Fire Risk, Legionella, Electrical and Asbestos regulations for Housing Management properties.</p> <p>Risk Appetite Level: 4 Risk Response: Treat</p>	16	16	◀▶	Dec-19	Apr-19 (Quarter 2)	16
RSDR0010	<p><b>Risk (Threat):</b> FRONTLINE STAFF: Safety and security of frontline staff and customers</p> <p>Risk appetite level: 8 Risk response: Treat</p>	16	16	◀▶	Dec-19	Mar-19 (Quarter 1)	16
RSDR0011	<p><b>Risk (Threat):</b> Procurement risk relating to the procurement, management and delivery of key contracted services.</p> <p>Key contracts being procured are: repairs and maintenance, major works, cleaning, FM and street cleansing.</p> <p>Risk appetite level: 8 Risk response: Treat</p>	<i>Proposed Risk</i>	12	▲ 12	Dec-19	Sep-19 (Quarter 3)	32
RSDR0013	<p><b>Risk (Threat):</b> Non-compliance against Resilience Standards for London (emergency planning)</p> <p>Risk appetite level: 8 Risk response: Treat</p>		32	New	Dec-19	Sep-19 (Quarter 3)	32

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RSDR0014	<p><b>Risk (Threat):</b> Risk of food safety continuing to have a "no assurance" rating</p> <p>Risk appetite level: 8 Risk response: treat</p>		16	New	Dec-19	Jul-19 (Quarter 3)	16