

Risk No	Risk Category	Risk Description	Risk Owner	Risk Impact	Date Risk Raised	Initial Risk			Risk Strategy	Target Risk			Risk Control/Action	Action Owner	Action Target Date	Risk Update	Current Risk			Next Risk Review Date
						Impact	Likelihood	Score		Impact	Likelihood	Score					Impact	Likelihood	Score	
CR1	Political	As a result of <b>Brexit</b> there may be changes to laws and policies that may impact WSCC and partners (i.e. employment law).	Nathan Elvery	1. Uncertainty on staff available to deliver council services i.e. care workers. 2. Uncertainty on local businesses. 3. Impact of growth projections.	Nov-17	4	4	16	Tolerate	4	4	16				Gather data to inform impact of negotiations; liaise with network to share information; work with businesses to show ongoing commitment. Background activity by directorates to collate and determine data that can be used for analysis once Brexit is fully understood. Risk to be re-assessed 6 monthly or in the event of significant Brexit statements.	4	4	16	Jul-18
CR7	Governance	There is a culture of <b>non-compliance</b> and lack of standardisation in some <b>systems and processes</b> . Levels of familiarity with, and use of, corporate requirements for sound decisions and meeting legal obligations needs to improve.	Tony Kershaw	1. Invalid decisions. 2. Fraud error. 3. Poor VFM. 4. Compliers and claims. 5. Censure by audit inspection.	Mar-17	4	4	16	Treat	3	2	6	Module on governance embedded in corporate training and the induction programme. Data on areas of non-compliance used to inform Directors to enforce compliance with standards. Guidance for specific procedures to be created. Regular compliance monitoring and active corporate support when non-compliance happens to establish better practice. Audit plan focussing reviews on key corporate support systems to identify key areas in need of improvement.	Head of Democratic Services Tony Kershaw Tony Kershaw Head of Democratic Services Head of Audit	Mar-18 Jul-18 Jul-18 Ongoing Ongoing	<b>Completed.</b> Included in Annual Governance Review. Partially completed.	4	3	12	Aug-18
CR9a (linked to CR11)	Managerial/ Professional	<b>Organisational restructuring</b> may lead to staff and departmental instability.	Heather Daley	1. Adverse effect on the Council's partners and providers. 2. Low staff morale and performance. 3. Failure to deliver statutory services.	Mar-17	4	4	16	Treat	3	3	9	Revise JCC structure to ensure executive director/departmental engagement with trade unions on proactive basis. Within HR&OC directorate 'Subject matter expertise' for restructure and other employee relation matters to be developed and quality assurance processes to be put in place. Implement staff engagement methods within the consultation process restructures, i.e. alongside JCC. Revising HR policy and guidance in relation to handling of org restructure. Examine HR KPI's to improve HR intelligence and intervention planning.	Jamie McGarry Jamie McGarry Jamie McGarry Jamie McGarry Head of Specialist HR	Jun-18 Sep-18 Aug-18 Sep-18 Oct-18		4	3	12	Jul-18
CR9b	Managerial/ Professional	The Council fails to act as 'One Team' with internal partners e.g. central enabling services, which may lead to misalignment of <b>governance processes and development of sub-cultures</b> .	Heather Daley	1. Adverse effect on the Council's partners and providers. 2. Inadequate pace/speed of delivery. 3. Failure to deliver statutory and non-statutory services.	Mar-17	4	4	16	Treat	3	3	9	Producing an ELT and SLT Development Programme which links to the Value Centre Leadership Programme for more generic management positions. Develop a council HR strategy with key outcomes, interventions and KPIs; and building the provision for departmental and directorate dashboards as a reporting tool. Quarterly pulse survey and biennial staff survey.	Lindsey Hannant Heather Daley Lindsey Hannant	Jul-18 Jul-18 Nov-18	ELT and CLT development programme in place. CMT development programme commissioned, launching Oct 18. Last pulse survey in April and actions being progressed. Staff survey launched June 18; results shared at staff conference in Oct 18.	4	3	12	Jul-18
CR9c	Managerial/ Professional	The Council fails to act as 'One Team' with external partners eg Capita, Balfour Beatty, PWC, which may lead to misalignment of <b>governance processes and development of sub-cultures</b> .	Heather Daley	1. Adverse effect on the Council's partners and providers. 2. Inadequate pace/speed of delivery. 3. Failure to deliver statutory and non-statutory services. 4. Additional cost/duplication of services.	Mar-17	4	4	16	Treat	3	3	9	Carry out a training needs analysis on the intelligent client and customer relation function; focussing on client and contractor. Clear accountabilities and KPIs for client and contractor. Move to outcomes based commissioning.	Lindsey Hannant Lindsey Hannant Lindsey Hannant		To engage with Katharine Eberhart. To engage with Katharine Eberhart. To engage with Katharine Eberhart.	4	3	12	Jul-18

CR11 (linked to CR9a)	Managerial/ Professional	Due to skills shortages in several disciplines and areas (internally and externally), the Council is unable to <b>recruit</b> suitable staff into vacant positions; and may encounter problems with <b>retaining</b> experienced existing staff.	Heather Daley	1. Over-reliance on interim and agency staff.	Mar-17	4	5	20	Treat	4	3	12	Identification of hard to fill posts and reasons.	Lindsey Hannant	Aug-18	4	4	16	Jul-18
				2. Lack of corporate memory.									Review policy and provisions for recruiting and retaining hard to fill posts.	Lindsey Hannant	Reviewing resettlement policy; going to ELT July 18.				
				3. Inadequate pace/speed of delivery.									Simplifying processes for recruiting and engaging with potential applicants for hard to fill posts.	Lindsey Hannant	Oct-18				
				4. Low staff morale and performance.									Longer term strategies for addressing recruitment issues e.g. apprenticeships.	Lindsey Hannant	Ongoing				
CR12	Social	A lack of understanding by the Council and partners to <b>understand and manage the demographic needs and demands</b> effectively, may result in a failure to obtain or utilise intelligence to model and manage demand effectively.	Kim Curry	1. Services are not sufficiently resourced to address social care and educational issues on a timely manner.	Mar-17	4	3	12	Treat	3	2	6	Develop a CAFHE dashboard that helps to illustrate pressures on the front door, to be discussed monthly at DLT and in conjunction with Performance Team datasets.	Graham Tabbner	Aug-18	4	3	12	Aug-18
				2. Services are not designed appropriately to reflect the needs of a changing demographic, leading to decompensation of individuals or lack of service.									Develop data pack within Adults' Services to understand; demand, waiting lists, service pressure and resource requirements. Ensure this is reviewed regularly within leadership meetings.	Jana Burton	Aug-18				
				3. The cost of provision of services increases beyond expectation or budgets are not allocated most effectively.									Develop data pack within Education and Skills to understand; demand, sufficiency and resource requirements. Ensure this is reviewed regularly within leadership meetings.	Deborah Myers	Aug-18				
				4. Inability of the Council to respond positively to service developments from strategic partners due to unknown picture of demand for own service provisions.									Develop data pack within Family Services to understand; demand, waiting lists, service pressure and resource requirements. Ensure this is reviewed regularly within leadership meetings.	Annie MacIver	Aug-18				
													Ensure links are maintained with Public Health Directorate and that data from JSNA is fed into demand considerations.	Kim Curry	Aug-18				
													Share intelligence from strategic partnership meetings with Health and District & Borough Councils.	Kim Curry	Ongoing				
CR14	Competitive	Due to a <b>lack of capacity or competition</b> in areas of the care market in which the Council operates, the Council is not able to manage or stimulate markets, or secure good deals.  The LGA Peer Review identified that, in line with Care Act responsibilities, the nature of WSCC's relationship with the market needs to change to one of: 1. Partnership working, not solely commissioner to provider, 2. Co-design and 3. Co-production. The programme plan developed in response to the Peer Review will include the development of engagement strategies to deliver the above.	Kim Curry	1. The costs of care packages are increased as a lack of supply relative to demand.	Mar-17	5	4	20	Treat	4	3	12	Work with providers to improve recruitment and retention of their workforce.	Debbie Young	Ongoing	5	4	20	Aug-18
				2. The availability of care packages is reduced to lack of capacity, usually through lack of workforce.									Develop a Market Position Statement that clearly states the Council's requirements of the market and the methods by which it will support them.	Debbie Young	Aug-18				
				3. Customers must wait longer for care affecting their ability to remain independent or with lower care needs for longer.									Introduce and implement commissioning strategy developed with PwC.	Catherine Galvin	Sep-18				
				4. Inability to develop innovative service pathways due to lack of capacity or choice of care.									As a result of the Peer Review develop Market engagement strategy that includes processes for codesign and coproduction with	Jana Burton	Oct-18				
				5. Reputational damage for the Council and potential censure from inspectors.															
CR18	Competitive	<b>Limited cost consciousness</b> (activity costs, opportunity costs, etc.) and immaturity in <b>benchmarking and trend analysis</b> may lead to a lack of awareness of how services sit in the marketplace. As a consequence the Council is not able to identify where it can make improvements.	Kim Curry	1. The Council does not achieve value for money in respect of its procurement and commissioning activity.	Mar-17	4	4	16	Treat	4	2	8	Linked to CR12 and CR14 make better use of data in understanding of service demand and impact, through DLT oversight.	Kim Curry	Ongoing	4	4	16	Aug-18
				2. Service redesign and innovative approaches can not be introduced through lack of market and trend intelligence.									Ensure that commissioners develop a strategy for wider market oversight and understanding of market place evolution to make best use of new opportunities.	Catherine Galvin	Oct-18				
				3. Budget setting and management is hampered as a result of insufficient or incomplete data.									Work with Insights Team to understand how data can underpin benchmarking activity and use of performance for predicting trend.	Graham Tabbner	Oct-18				
													Ensure system-wide partnership discussions with health and Districts & Boroughs consider collective approaches to marketplace strategy.	Kim Curry	Ongoing				

CR22	Reputational	West Sussex County Council has a large Council tax base, relatively low deprivation levels and West Sussex's economy is generally strong. If the Council do not seek to influence Central Government on the decisions taken on the national funding formula and on individual funding opportunities, there is a risk that the county will be disadvantaged and <b>miss out on funding</b> .	Nathan Elvery	1. Insufficient funding to deliver services.	Mar-17	4	4	16	Treat	4	3	12	To continue to work as part of a representative group of authorities through 3SC, SE7 and SESL to ensure the case can be made for West Sussex County Council and the needs of its residents.	Nathan Elvery	Ongoing		4	3	12	Mar-19
													To continue to work as part of the County Council Network (CCN) - to make the case for upper tier authorities with a large geography.	Nathan Elvery	Ongoing					
													To continue to support the Local Government Association and strength the links between WSCC and the LGA.	Nathan Elvery	Ongoing					
													To continue to engage with West Sussex MPs to ensure that they are aware of the specific impacts of Government policy on West Sussex residents.	Nathan Elvery	Ongoing					
													To continue to engage with Government Ministers and officials to put forward the case for West Sussex, with the LEP and District and Borough partners as appropriate.	Nathan Elvery	Ongoing					
CR24	Economic	The <b>Council's funding</b> is heavily reliant on the global, EU, national local economy (e.g. Government reductions for local government, future of EU grants with Brexit, local retention of Business Rates, inflation, energy costs, etc.). As a result, income and costs may be less than predicted and planned for.	Katharine Eberhart	1. Adverse effect on reserves/balanced budget.	Mar-17	4	4	16	Treat	3	3	9	Influence development of funding initiatives through Treasurers working groups.	Katharine Eberhart	Ongoing	Delivery of Growth Deals with D and Bs to help support built environment.	3	4	12	Feb-19
													Involvement in influencing groups such as county council networks.	Katharine Eberhart	Ongoing					
													Interaction with MPs.	Katharine Eberhart	Ongoing	Business Rate Pools maximises available rates income support.				
													Respond to consultations.	Katharine Eberhart	Ongoing					
													Ensure sufficient budget provision to deal with uncertainty.	Katharine Eberhart	Feb-19					
CR34	Partnership/ Contractual/ Supplier	In order to deliver the Councils objectives, there is requirement to work with a number of local strategic partners in research, commissioning and provision. Each partnering organisation will have differences in policy, perspective, priorities and resource cycles; which may result in a <b>failure to agree to, or operate, essential services and interfaces</b> .	Kim Curry	1. Policies and procedures contradict or dilute service delivery, thereby preventing service delivery or hampering the achievement of outcomes for customers. 2. Services are unable to effectively innovate or redesign in order to improve outcomes for customers. 3. Opportunities to reduce costs by making use of collective purchasing power or collective commissioning approaches are lost.	Mar-17	4	4	16	Treat	3	3	9	Discuss collective CAFHE approach to this risk at DLT and develop actions as a result.	Kim Curry	Jul-18		4	4	16	Aug-18
													As part of Peer Review response, ensure that deliverables of improvement plan includes development of strategies and / or training for codesign, coproduction and collaborative working.	Graham Tabbner	Jul-18					
CR36	Partnership/ Contractual/ Supplier	The Council has a large number of third party suppliers and an inconsistent approach to contract management (particularly outside of a few strategic suppliers); which may result in a failure to ensure that contractors perform or operate safely, or to ensure compliance with contract terms and prices.	Katharine Eberhart	1. Failure to make planned improvements. 2. Off contract spend. 3. Poor value for money. 4. Failure to monitor outcomes for residents.	Mar-17	4	4	16	Treat	3	3	9	Create a central contracting unit to quality control contracting activities and support contract management in directorates.	Katharine Eberhart	Sep-18	Contract management service is progressing and FPP directorate has set up a Task & Finish Group.	4	4	16	Oct-18
CR39a	Technological	<b>Cyber-security</b> . The Council has a wealth of personal and confidential data that needs to be protected from corruption or loss as a result of deliberate and targeted malicious activity (e.g. virus, ransomware etc.). Similarly, the Council's on-line services are increasingly critical to service users and to the Council workforce, these need to be protected from service disruption through malicious technological attack (e.g. DDOS). There is a risk that Information is manipulated in such a way that it can no longer be accessed; or data is deleted, corrupted or stolen; or the Council is subject to a cyber-attack resulting in loss of technology-based digital services.	Katharine Eberhart	1. FRS information breach due to identified system concerns by Surecloud . 2. Loss of service through exploitation of technology vulnerability. 3. Individuals or groups come to harm. 4. The Council cannot deliver services. 5. The Council suffers significant financial loss or cost. 6. The Council's reputation is damaged.	Apr-18	4	5	20	Treat	4	4	16	Clarify accountability and responsibility for security of the mobilising network.	Roland Mezulis / Neil	Sep-18	In progress.	4	5	20	Aug-18
													Ensure that the whole mobilisation IT estate is reviewed.	Roland Mezulis / Neil	Sep-18	In progress.				
													Address all items with severity level 6.8 or above.	Roland Mezulis / Neil	Jul-18	In progress.				
													Create pan for dealing with items with severity rating less than 6.8.	Roland Mezulis / Neil	Jul-18	In progress.				
					Mar-17								Improve staff awareness of personal & business information security practices & identification of cyber-security issues.	Roland Mezulis	Sep-18	Regular communications are being distributed to all members of staff.				
													Improve risk assessments of data stores, both local and cloud-based, during procurement and deployment.	Roland Mezulis	Sep-18	As part of new data privacy impact assessments.				



CR50	Governance	Insufficient <b>health &amp; safety</b> governance and training across the organisation and in relation to outsourced providers or via traded services eg schools, coupled with a lack of accountability by directorate; may lead to a serious health & safety incident occurring and/or not being reported.	Heather Daley	1. People come to harm.	Mar-17	4	5	20	Treat	4	3	12	Revise the governance structure and terms of reference for H&S.	Amanda Rablin	Jul-18	Draft H&S and Wellbeing framework to be presented to ELT 11 July	4	4	16	Jul-18
				2. Complaints/claims/litigation.									Conduct a training needs analysis, produce gap analysis to understand requirements and produce suitable courses as a consequence.	Amanda Rablin/ Lindsey Hannant		TNA to be produced by Sep 18.				
				3. Increased costs.									Review well-being service delivery model.	Head of Specialist HR	Dec-18					
				4. Censure by audit/inspection/intervention by statutory agencies.									Produce robust performance dashboard.	Amanda Rablin		Amanda to speak with Heather on requirement				
				5. Adverse publicity.									Invite peer review from other LGA to share best practice (critical friend).	Heather Daley		Kent CC invited to participate				
				6. Reputation damage.									Review internal audit report and reporting mechanism.	Amanda Rablin	Jul-18	Review completed and outcomes to be identified. Outcomes feeding into training action/control				
				7. Adverse effect on morale.																
				8. Stress and absenteeism.																
CR53	Physical	The Council has an extensive asset base and its <b>asset management</b> strategy is inadequate. Condition surveys are out of data and some buildings are known not to be fit for purpose (e.g. condition, space, accessibility, parking). The lack of robust asset data may lead to poor maintenance scheduling, reactive maintenance, and pose a significant H&S risk.	Steve Read	1. Danger to life.	Mar-17	4	5	20	Treat	4	3	12	Asset Strategy completed and signed off and recommendations implemented.	Jo Twine	Aug-18	17/4/18 - Completed strategy going for approval at CAB on 1/5/18. To be presented to P&F committee for scrutiny Jul 18.	4	4	16	Aug-18
				2. Reputation damage and/or poor publicity.									Demolition of structures at Southwick, Barnham and the Wallis Centre.		Apr-18	<b>Completed.</b>				
				3. Litigation and compensation claims.									Strategic Outline Case for targeted asset improvement capital line.	Nick Smales	Apr-18	<b>Completed.</b>				
				4. Criminal prosecution (Corporate Manslaughter).									Facilities Management restructure.	Nick Smales	May-18	<b>Completed.</b>				
				5. Poor VFM.									Asset register completed.	Jo Twine	Aug-18	17/4/18 - Completed strategy going for approval at CAB on 1/5/18. To be presented to P&F committee for scrutiny Jul 18.				
				6. Financial - increased costs through reactive maintenance budget overspend.									Full asset condition survey to be carried out (£1.5m required to complete).	Jeremy Rigby	Apr-19	Funding approved. Draft preliminary survey expected on priority assets by end Dec 18.				
				7. Adverse effect on the Council's partners and providers.																
CR54	Physical	A <b>child safeguarding failure</b> occurs due to a child dying or being seriously injured as a result of abuse and neglect. The child will be currently or recently known to childrens social care or IPEH (Integrated Prevention and Earliest Help).	Annie Maclver/ Ellie Evans	1. People come to harm.	Mar-17	5	4	20	Treat	4	3	12	S11 audits completed in timely fashion.	Annie Maclver	Ongoing		4	4	16	Oct-18
				2. Complaints/claims/litigation.									Recruit and retain sufficient number of qualified social workers	Annie Maclver	Ongoing	To be dealt with under CR11; LH to capture hard to fill posts through organisational wide engagement				
				3. Increased costs.									Manageable case loads	Annie Maclver	Ongoing					
				4. Censure by audit/inspection.									Front line family workers receive safeguarding training at level 3 or 4 as appropriate.	Annie Maclver	Ongoing					
				5. Adverse publicity.									Campaign material available advising public about how to make a referral.	Annie Maclver	Ongoing					
				6. Reputation damage.									Enhance risk knowledge and capability of Practice Managers to equip them to undertake their role effectively	Annie Maclver	Ongoing					
				7. Adverse effect on the Council's partners and providers.									Review LADO capacity in education and skills.	Ellie Evans						
				8. Adverse effect on morale.									Ensure all schools have access to policies and guidance on safeguarding and these are kept up to date.	Ellie Evans						
				9. Stress and absenteeism.									Governors support services review training for governing bodies.	Ellie Evans						
				10. Political turmoil.									For actions specific to family services outside of those listed above please see agreed priorities of Children.	Ellie Evans						
													Safeguarding in education schools reviews..	Ellie Evans						
													CSE.....	Ellie Evans						
													MASH.....	Ellie Evans						
	Quality and Development Board....	Ellie Evans																		

CR55	Physical	Due to a lack of compliance to The Care Act 2014 and local authority directives, an <b>adult safeguarding failure</b> occurs.	Kim Curry	1. Potential that people will come to harm as a result of safeguarding issues not being addressed quickly and comprehensively.	Mar-17	5	4	20	Treat	5	3	15	As part of the response to the Adults' Services Peer Review an improvement programme is being developed, of which a major project will be a review of Safeguarding. Specific actions and activity will need to be scoped following ASCIB on 12/6/18.	Jana Burton	Jun-18	5	4	20	Aug-18
		The LGA Peer Review identified that there is work for the Council to do in respect of Making Safeguarding Personal and the management of safeguarding processes. Consequently, a major piece of work will be delivered in the improvement work that Adults' Services must undertake. This is yet to be agreed through ASCIB but is likely to include: 1. Fundamental process review, 2. Making Safeguarding Personal guidance, 3. Improved performance monitoring arrangements 4. Addressing backlogs 5. Contract monitoring and quality process development.		2. Potential for legal challenge to WSCC for failure to comply with statutory obligations.									The new independent chair of the Safeguarding Adults Board is undertaking a review of its processes and governance.	Jana Burton	Aug-18				
		3. Reputational damage to the Council for failure or manage safeguarding issues in a timely and comprehensive manner.		3. Sussex Health Care risks are being managed via a separate mechanism and being reviewed monthly at strategic oversight meeting.									Kim Curry	Ongoing					
		4. Potential financial impact for the Council as a result of any legal action.																	
		5. Censure by inspectors for failure to tackle issues identified as a result of peer review exercise.																	
CR56	Managerial/ Professional	The <b>LGA Peer Review of Adults' Services</b> in May 2018, highlighted a number of areas for improvement required within provision of Adults Social Care. These included: long waiting lists across a number of services; lack of understanding of and work aligned to the Care Act 2016; working in a non-evidenced base manner; lack of genuine partnership working to address system wide issues; little evidence that Making Safeguarding Personal has been understood or implemented; and issues regarding use of Mosaic.	Kim Curry	1. People are not assessed in a timely way and so their needs increase, reducing quality of life for the individual and incurring increased costs for the Council.	May-18	5	5	25	Treat	3	3	9	Develop and implement a 100 Day Action Plan to tackle the most serious issues raised within the review, including waiting lists.	Jana Burton	Sep-18	5	5	25	Aug-18
				2. People are not assessed based on their strengths leading to decompensation and costlier interventions.									Develop and implement a longer term strategy for continued improvement including co-design and co-production with partners.	Jana Burton	Dec-18				
				3. The MOSAIC system leads practice and generates artificial service boundaries.									Work to develop Mosaic to be more practise lead and supportive.	Jana Burton	Mar-19				
				4. Partners, including the VCS, are not able to work with the Council in the best way to address need and help slow the demand for higher cost interventions.									Work to develop through ASCIB a data suite that highlights performance and areas of concern.	Jana Burton	Jul-18				
				5. There is potential that future safeguarding issues may arise through lack of appropriate management at an early stage.									Regulalry review the learning from the Peer Review to ensure that progress is being made.	Jana Burton	Ongoing				

CR57	Managerial/ Professional	There is a significant <b>backlog of Deprivation of Liberty Safeguards (DoLS) assessments</b> , both those received in paper format and in community teams, the latter can't be quantified due to lack of monitoring data.	Kim Curry	1. Customers may be being deprived of their liberty for reasons that are not in their best interests leaving the Council open to potential challenge.	May-18	5	5	25	Treat	3	3	9	Work with Audit to develop a clear action plan of key issues and mitigations to be introduced as a matter of urgency.	Jana Burton	Jul-18		5	5	25	Aug-18
				2. Customers may need additional restrictions put in place to ensure their safety but these are not being processed in a timely way leaving the Council open to potential challenge.									Communicate to all SW Teams the imperative to resolve these issues with appropriately trained staff and the need to ensure that recording is undertaken effectively, supported with training materials where required.	Jana Burton	Jul-18					
				3. The Councils performance in this area is reportable so could leave the Council open to reputational risk if the backlog is not reduced significantly.									Establish a working group to oversee the rectification of the issue with clearly defined targets, scope and authority.	Jana Burton	Jul-18					
				4. Best Interest Assessor training and individuals with those skills are not being directed to tackle the backlog meaning that training resource is not being utilised effectively.									Report progress back via separate workstream of ASCIB Governance.	Jana Burton	Ongoing					
				5. Staff morale in teams with significant backlogs will decline.																