

Appendix 1: Corporate Risk Register: Red Risks

Risk Ref	Risk Scenario		Exec Director	Existing Controls	Current Risk Rating			Future Controls	Future Risk Rating		
	Risk	Impact			Impact	L'hood	Total		Impact	L'hood	Total
RCSCFS0001 Simpson, Richard	<p>The Council faces significant reductions in its grant funding, over the period 2016 to 2019. This is at a time of significantly rising demand for services.</p> <p>(Reviewed by DMT 22.4.15) (Last reviewed by DLT 25.8.15)</p>	<p>Insufficient resources may lead to inability to meet community needs and political aspirations. Potential inability to meet statutory responsibilities in times of increasing demand through changing demographics, for example mental health services, older people's services and deprivation of liberty demands. Damage to reputation and service. Reduction in resources Increasing demands for services and support, for example the Council Tax support scheme arrangements Risk of failure to balance Budget and Failure to maintain capital investment strategy in infrastructure (Strategic objective alignment: Enabling)</p>	<p>Elvery, Nathan Resources Department</p>	<p>a) The Council has a track record of delivering significant savings since 2010 (£100m) b) Croydon Challenge Programme engagement started with all staff on outcomes and benefits. c) Quarterly monitoring of in year financial performance to Corporate Leadership Team and Cabinet d) Cabinet sign off of budget Feb 2015 e) Cabinet sign off of 2015/18 savings programme f) New Corporate Plan aligned to Ambitious for Croydon to ensure priorities align with resources</p>	5	5	25	<p>a) Spending review for 2015 and beyond The council will provide evidence to support the case for Croydon, to ensure our position is fully understood by government under the 'Fair Share' for Croydon banner b) Detailed business case development on Croydon Challenge Programme</p>	5	4	20
CFLSCF0014 Lewis, Ian	<p>Cost pressures arising from external social care placements for Looked After Children.</p> <p>(Risk Reviewed at People DLT 25 Aug 2015) (Risk reviewed 27/7/15).</p>	<p>In year and medium term challenges to balance budget</p>	<p>Greenhalgh, Paul People Department</p>	<p>a) Service Transformation Project (Fostering and Relationships Management) Project established to deliver service improvement and cultural change - supported by corporate services (Transformation, SCC, Finance, HR)</p>	5	4	20	<p>a) Develop services to extended families and communities so that children can be cared for within these networks ensuring that as many children as possible can benefit from alternative permanent legal solutions to being looked after.</p>	5	4	20

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				<p>b) Strengthen operational arrangements to manage information and ensure accurate forecasting Joint work with CSC, YOS, Finance, Performance to implement information management processes and achieve a single view of placements and costs</p>				<p>b) Establishment of Think Family Review Panel. The panel will be established to review the support offered to the most costly families and to consider the potential for providing a different intervention / offer of support in order to improve outcomes and reduce costs. The group which will be Chaired by the Director of Gateway & Welfare, will meet on a monthly basis and will report into DLT each month on progress. This group will link to and work closely with each of four Service Boards. The panel will consider a list of the most costly families and an action plan identifying activity to review and change the types of intervention and support offered to each family member / across the whole family and progress in reducing spend.</p>			

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				<p>c) A strategy of reducing costs through an approach of 'Looking After the Right Children' has been established including statistical, data and research analysis to establish what is know about the outcomes for the children that are cared for. Early help and intervention – Best start collaboration and targeted programmes designed to work with families, children and young people, such as the Functional Family Therapy model. Croydon work with allocated cases within Children's Social Care for Children in Need and Child protection. The major approach is to improve the quality of social work practice and multi-agency work to ensure that risks are reduced where possible. Children's services ensure there are clear procedures and decision making processes when making agreements for children to become looked after and that timely decisions are made about their care planning.</p>				<p>c) Establishment of service in year budget tracking board to monitor progress of the in-year spend, working to achieve a balanced budget year end. This includes reviewing the progress and impact of the planned activity to reduce spend and oversee progress on developing and implementing the approach to demand management including an action plan identifying activity to reduce the in year spend, a dashboard which details information on spend and demand and a list of clients / placements including length of case, cost of package / placement, date of last review and relevant plans for alternative/different provision. This information will feed into the dashboard which will be presented to DLT, ELT & the monthly Members Board.</p>			

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CFLSCF0024 Lewis, Ian	In year budget pressures in relation to SEN Transport New risk added at DLT 25.8.15	Financial and Service impact	Greenhalgh, Paul People Department	a) Route optimisation and a reduction in cost strategy through the re-procurement of transport services and through route optimisation processes and the implementation of muster points. b) SEN Transport Commissioner role and robust decision making around eligibility in place	5	4	20	a) Demand Management – a public consultation is being commenced on a review of the current eligibility criteria b) Development of alternative travel options to include personal travel budgets, independent travel training, and a possible motability scheme and walking escort service. c) Integrated Travel Service – to scope the development of an integrated travel service across the Council's services.	5	4	20

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				<p>c) Establishment of Service In Year Budget Tracking Board to monitor progress of the in-year spend, working to achieve a balanced budget year end. This includes reviewing the progress and impact of the planned activity to reduce spend and oversee progress on developing and implementing the approach to demand management including an action plan identifying activity to reduce the in year spend, a dashboard which details information on spend and demand and a list of clients including length of provision, cost of provision, date of last review and relevant plans for alternative/different provision. This information will feed into the dashboard which will be presented to DLT, ELT & the monthly Members Board.</p>				<p>d) Establishment of the SEN Transport Review Panel presents an opportunity to review previous cases to ensure the support offered is still appropriate. As part of an invest to save proposal, additional resource will be put in place to work with children and families to develop an individual travel plan which will be reviewed annually to ensure the provision of travel support is consistent with the needs at the time and that we are appropriately supporting the transition to independent travel wherever possible. The panel will meet fortnightly and will include the SEN Commissioner, Transport Manager, Finance & SCC. The group will track demand, costs and profile of travel support offered which will feed into the dashboard, identify and prioritise cases which needed to be reviewed and where travel plans will be developed and review progress on reducing transport and achieving a shift in the take up of alternative travel.</p>			

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CYPL0040 Greenhalgh, Paul	Home Office reduction to grant payable to Croydon Council (circa £4 million 15/16) in respect of support to unaccompanied asylum seekers. The Home Office wrote to the Council after the budget for 2015/16 was set to reduce the daily rate the Council received for UASC by just under 20%. Based on the numbers of children for last year this would equate to a loss of funding of just under £4m. Croydon have been treated as a Gateway authority due to the position of the home office in Lunar House. New risk added at DLT 25.8.15	Financial Impact	Greenhalgh, Paul People Department	Current review of likely demand for the rest of the year	5	4	20	The Council has requested an urgent meeting with the Immigration Minister James Brokenshire.	5	4	20
DASHHN0008 Asamoah, Leonard	The current economic conditions, lack of supply of private and public sector rented accommodation, changes to housing benefit and welfare reform continue to increase the rate of homelessness and demand for social housing. Changes include Welfare Benefit cap, adjustments to tax credit arrangements impacting on the Authorities' Council Tax support scheme, under-occupancy adjustment (bedroom limit) and Direct Payments. As a result, the Council continues to need costly emergency and temporary accommodation with resulting budget pressure. (Risk Registered as Red 21/01/2011) (Risk Reviewed at People Leadership Team 25 August 2015)	Additional cost to General Fund due to increased spending on emergency and temporary accommodation. Households potentially living in unsuitable accommodation with consequent negative impacts on their health and wellbeing. Risk of increased of homelessness or risk of breach of statutory obligations regarding use of shared emergency accommodation for more than six weeks . Potential for legal action against Council and reputational damage. Greater difficulty in placing tenants within the private rented sector. Potential for increase in the number of evictions. Risk of people not moving on from temporary accommodation Greater level of administration required. (Strategic objective alignment: Independence)	Greenhalgh, Paul People Department	a) Establishment of Service In Year Budget Tracking Board to monitor progress of the in-year spend, working to achieve a balanced budget year end. This includes reviewing the progress and impact of the planned activity to reduce spend and oversee progress on developing and implementing the approach to demand management including an action plan identifying activity to reduce the in year spend, a dashboard which details information on spend and demand and a list of clients including length of provision, cost of provision, date of last review and relevant plans for alternative/different provision.	5	4	20	a) Establishment of Homelessness Task Group Additional challenge and oversight of the decision making process from where people enter temporary accommodation to decisions about eligibility for housing support will be put in place. The B&B Task Group which meets fortnightly which is currently in place will also take on the function of a Homelessness Task Group which will have a role in overseeing and challenging the open cases where enquiries have not been completed and decisions about their homelessness application are outstanding.	5	4	20

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				<p>b) Worked with Corporate colleagues to target 500 households and develop future actions to address Benefit Cap impacts on their housing. Contact made with all families with further action plans developed.</p> <p>c) Floating support for relocated families</p> <p>d) Speeding up homelessness decisions; aiming for 33 days in 80% of cases.</p> <p>e) Weekly meeting to monitor and action numbers in B&B.</p> <p>f) Weekly welfare group review and monthly welfare board</p> <p>g) Monthly temporary accommodation strategy meeting.</p> <p>h) New Allocations Policy and Tenancy Strategy</p> <p>i) Procurement of temporary accommodation outside of the Borough when appropriate</p> <p>j) Development of new ways of procuring additional supply for temporary accommodation and expanding temporary accommodation project.</p>				<p>b) Additional focus on strengthening challenge on individual case decision-making in Housing will include reviewing the levels of delegation for HOS and directors in Housing. Spend on an individual case beyond an agreed level will require approval by the Executive Director People and the Assistant Chief Executive – Corporate Resources. The revised delegation levels will be determined by Finance. An external review of the financial spend, systems and processes will be undertaken within the service. A Task Group will be developed to provide additional governance and oversight to the case decision making and processing. Finance and SCC will be members of each of the groups and the Executive Director for People will attend a sample of these meetings.</p> <p>c) Impact of under-occupancy - more analysis being undertaken to review offered to customers</p>			

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				<p>k) Inter Borough Temporary Accommodation Agreement Monitoring returns on a quarterly basis.</p> <p>l) Government guidance on the ability to discharge homelessness duty released - Homelessness (Suitability of Accommodation) Order issued and protocol and procedures developed in response.</p> <p>m) Effective Use of Housing Revenue Account to increase supply of new build housing</p> <p>n) Signed up to phase two of the expanding temporary accommodation project with target of 93 properties in 2014/15</p> <p>o) Pan London initiative (London Councils) to achieve VFM on nightly B&B rates</p> <p>p) New schemes have provided an additional 190 temporary units</p> <p>Providing landlord and family liaison to help maintain households in their tenancies and to help households to move on from temporary accommodation.</p>				<p>d) Working up business cases for the procurement of private sector accommodation to reduce reliance on shared B&B accommodation including permitted development properties</p> <p>f) Working up action plan for future approach of the services</p> <p>g) ICT initiatives to improve access to online claims system. Explore CRM-OHMS Wizard potential for more efficient processing and management information</p> <p>h) Lobbying Central Government on local housing allowance</p> <p>i) New housing company being explored for three to four years time (2018)</p> <p>j) Expanding temporary accommodation programme</p> <p>Private landlord licensing</p>			

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DASHHN0037 Asamoah, Leonard	The 30 year business plan of the Housing Revenue Account had previously factored in an assumed increase in rents (equal to increases in the consumer price index +1%). Investment plans for repairs, maintenance and new home building were based on this assumed increase in income. Recent government policy changes, announced in the July budget, now require social landlords to decrease rent by 1% from 16/17 for four years.	Investment plans for repairs, maintenance and new home building will need to be reviewed and reprioritised in the light of this decreased income together with the investigation of other potential efficiency savings.	Greenhalgh, Paul People Department	Ongoing discussions regarding the prioritisation of repairs, maintenance and new build schemes	4	5	20	Future investigation of other efficiency savings that can be identified within the HRA	4	5	20
DASHYA0041 Scanlan, Brenda	There is a risk that the delivery of Outcomes Based Commissioning could be disrupted by the providers on the grounds of: *Providers are disengaged and reluctant to accept the proposed approach of Outcomes Based Commissioning, *Providers are unable to deliver or respond to Outcomes Based Commissioning, *Providers are unable to manage the transition / minimise the disruption caused by Outcomes Based Commissioning, *A model of system delivery cannot be devised which incorporates a full range of social care providers. (Risk reviewed: 20.7.15) Risk reviewed at DLT 25.8.15	Failure to deliver 10 Year Outcomes Based Commissioning could result in damaged reputation to the council, its partners and service disruption. Services themselves constitute in excess of £170M of which £40M spend focussing on integrated health and social care for the over 65s and involving five Alliance Partners: Age UK Croydon, Croydon Council Adult Social Care, Croydon GPs Group, Croydon Health Services NHS Trust and South London & Maudsley NHS Foundation Trust all of whom will be impacted by phase 3 (implementation) of the programme (April 2016). Risk that commissioners insufficiently work through service delivery and infrastructure changes for services to the under 65 category. (Risk jointly owned with Martin Ellis CCG)	Greenhalgh, Paul People Department	Develop links with the CCG primary care development strategy Development of the provider Capability Assessment Early engagement of providers through 1 to 1 meetings Early engagement with GP's as providers Proactive early engagement by Alliance partners with each other.	5	4	20	Develop a media handling strategy and communications plan Development of the implementation approach Engagement of commissioners from Croydon Council and clinical commissioning group in developing outline business case for contracts together Ongoing organisational development of the APA organisation to establish governance standards Phase 1 of collaborative dialogue following issue of memorandum of information Service/strategic commissioning April 2016, two major contracts Test the market if APA fails	5	3	15

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DASHYA0050 Scanlan, Brenda	In year budget pressures relating to adult care packages/cost of services New risk at DLT 25.8.15	Financial and Demand Impact arising from individual assessed needs as part of care planning arising from assessments/reviews	Greenhalgh, Paul People Department	Delegation for HOS and directors in Adults Social Care to assess eligibility for assistance are in place Establishment of service in year budget tracking board to monitor progress of the in-year spend, working to achieve a balanced budget year end. This includes reviewing the progress and impact of the planned activity to reduce spend and oversee progress on developing and implementing the approach to demand management including an action plan identifying activity to reduce the in year spend, a dashboard which details information on spend and demand and a list of clients / placements including length of case, cost of package / placement, date of last review and relevant plans for alternative/different provision. This information will feed into the dashboard which will be presented to DLT, ELT & the monthly Members Board.	5	4	20	Croydon Challenge projects that are being developed including :- Care Home Market Management, Short Term Re ablement and an Outcome Based Commissioning Project for over 65's which will result in the Council and CCG working more closely together to achieve financial and service based efficiencies.	5	4	20

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								<p>There will be an additional focus on strengthening challenge on individual case decision-making in Adults Social Care with the levels of delegation for HOS and directors in Adults Social Care to be reviewed. Spend on an individual case beyond an agreed level will require approval by the Executive Director People and the Assistant Chief Executive – Corporate Resources. The revised delegation levels will be determined by Finance. An external review of the financial spend, systems and processes will be undertaken within the service area. Task Groups will be developed to provide additional governance and oversight to the case decision making and processing. Finance and SCC will be members of each of the groups and the Executive Director for People will attend a sample of these meetings.</p>			

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DEV0003 Lacey, Colm	<p>There is a risk that the scale of redevelopment anticipated in the borough over the next five years, (including Transport for London capital investment, schools development, public realm improvements plus specific projects such as the Whitgift redevelopment etc.), could have an adverse impact on the borough's highways and transport infrastructure, and existing business base, particularly within the metropolitan centre. (Risk registered as Red 28/06/13).</p> <p>(Last reviewed: 20 July 2015)</p>	<p>Risk of unacceptable increase in car and public transport journey times. Risk of disruption to visitors, commuters and businesses from roadworks and diversions.</p> <p>Risk of visitors and shoppers being deterred from coming to the town centre. Potential reputational damage for Croydon. Risk of adverse impact on local economy in the short term.</p> <p>(Strategic objective alignment: Growth)</p>	<p>Negrini, Jo</p> <p>Place Department</p>	<p>a) The Croydon Strategic Metropolitan Board (CSMB) has been created and meets bi-monthly. This high level board chaired by the Chief Executive and attended by the relevant parties including the Greater London Authority has oversight of delivery of the Delivery Plan.</p> <p>b) CSMB in combination with the other groups above will manage scheduling of works as well as delivery a joined up messaging / communications campaign to business and residents.</p> <p>c) Several operational Boards meet monthly / bi-monthly including; Managing Infrastructure Delivery and Scheduling Board, . North End Improvement Group, Mayor's Regeneration Fund Board and Growth Board. These are officer Boards attended by Croydon Council officers plus Tramlink, Greater London Authority, Transport for London, operational officers from developers etc. - these groups attempt to co-ordinate delivery of schemes to manage impact on public space inc. highways</p>	5	4	20	<p>f) Provide challenge and review at Connected Croydon Board and tributary boards by a senior client.</p> <p>Infrastructure study and Section 278 of the Highways Act funding contribution from Westfield development</p> <p>The Growth Zone proposal submitted to treasury in August 2015 proposes a mechanism to resource essential infrastructure in the Growth Zone which will mitigate impact of growth and development in the Metropolitan centre. (Sept 2015) ref Janet Davies</p>	4	3	12

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				<p>d) Alongside the Plan sits a Dashboard tool which can be used to assess impact of the various developments / developments in combination. It can support effective scheduling of construction in relation to minimising negative impact on highways, pollution etc. and scheduling of completion of schemes e.g. minimising potential to flood market with residential units etc.. Information from the Dashboard will be used to influence developer scheduling, manage communications with residents and existing businesses and support traffic management. The tool will be actively managed by Development & Environment to ensure it's up to date and used effectively.</p> <p>e) The Five Year Integrated Delivery Plan has been developed. The Delivery Plan is a roadmap for delivery of the whole town centre redevelopment and sets out a series of outcomes / actions which the Council and partners will use to measure success and manage impact.</p>							

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				g) 5 Gate Delivery Plan							
RCSCFS0080 Simpson, Richard	<p>The Council being able to contain its in year (15/16) spending within the funding envelope. This particularly applies to the People Department being able to contain its in year spending within the funding envelope, and maintain capacity on the face of growing demand with pressures particularly in Looked After Children, SEN Transport, Adult Care Packages and Temporary Accommodation</p> <p>(New risk added 27.5.15) (Last reviewed by DLT 25.8.15)</p>	Reduction in reserves, reputational damage, impact to residents and services leading to safeguarding issues.	Elvery, Nathan Resources Department	<p>a) The Council has a track record of delivering significant saving since 2010 £100m.</p> <p>b) Continue managing the usable reserves.</p> <p>c) Quarterly monitoring of in year financial performance to CLT and Cabinet with monthly monitoring of high risks/high prone areas.</p> <p>d) Croydon challenge programme - engagement has begun with all staff on outcomes and benefits.</p> <p>e) Cabinet signoff of 2015/18 savings programme.</p> <p>f) New Corporate Plan aligned to Ambitious for Croydon to ensure priorities align with resources.</p>	4	5	20	a) Spending review for 2015 and beyond. The council will provide evidence to support the case for Croydon, to ensure our position is fully understood by government under the 'Fair Share' for Croydon banner.	4	4	16

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								<p>f) In response to the current projected over-spend for the Peoples Department, the governance for the four demand led areas (Looked After Children, SEN Transport, Housing & Adults Social Care) is being strengthened. Including:</p> <ul style="list-style-type: none"> - Strengthening challenge on individual case decision-making - Ensuring that monthly meetings between accountants and budget holders take place consistently - Introducing monthly Service Boards for LAC, SEN Transport, Housing & Adults Social Care which will be Chaired by the Executive Director, People - Weekly review of progress / actions at Corporate ELT - Monthly reporting to DLT as part of the monthly budget review - Development of a monthly Members Board which will oversee progress 			