

Corporate Risk Register

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
EHSC0012 Peacock, Barbara	<p>The OFSTED (June/July 2017) inspection of 'Services for children in need of help and protection, children looked after and care leavers' has categorised the Council's Children's Services function as 'inadequate'. Following publication (04/09/2017) of the inspection report, the Council fails to action the recommendations raised or to address the findings of the report resulting in central government intervention, more frequent unannounced inspections and the removal of direct control by the Council for its Children's Services function within the borough.</p> <p>(Risk reviewed and amended 04/09/2017).</p>	<ul style="list-style-type: none"> - Reputational damage. - Government intervention. - Financial cost of implementing wide ranging changes - Legislative action arising. - Difficulty in recruiting and retaining experienced and effective workforce. - Media scrutiny. - Political scrutiny and activity. 	Peacock, Barbara People Department	<p>Children's Improvement Board structure and governance review.</p> <p>Detailed planning with People Dept.</p> <p>Implementation of Children's improvement plan including: *</p> <ul style="list-style-type: none"> * recruitment and retention * improved performance management * strengthen quality of practice * embed systemic approach * improve early help arrangements * project accuracy 	5	5	25	Ongoing improvement identification.	5	4	20

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>Demand/budget gap is not bridged without the need for additional cuts to services as the Council faces continued significant reductions in its grant funding, during the period 2017 to 2020. These reductions are imposed whilst the Council experiences a continuous rising demand for services provision and growth in population. The results of the Children's Services OFSTED inspection (June / July 2017) places greater risk on Council budgets due to the need for greater investment in this service.</p> <p>(Risk reviewed, amended and accepted at DLT 01/08/2017).</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, children's services and housing.</p> <p>- Increasing demands for services and support, for example the Council Tax support scheme arrangements (ASC & CSC).</p> <p>- Damage to reputation and service risk.</p> <p>- Reduction in resources.</p> <p>- Risk of failure to balance Budget and Failure to maintain capital investment strategy in infrastructure.</p> <p>(Strategic objective alignment: Enabling)</p>	Simpson, Richard Resources Department	<p>Corporate Plan aligned to Ambitious for Croydon to ensure priorities align with resources</p> <p>Quarterly monitoring implemented and reported with additional control in respect of the People Dept. where the high risk areas monitored monthly.</p> <p>Quarterly monitoring of 'in year' financial performance to Corporate Leadership Team and Cabinet</p> <p>Regular monitoring of the Managing Demand Projects for both service delivery and financial savings.</p> <p>Savings for 17/18 signed off by Cabinet as part of 2017/20 budget setting report. Q1 monitoring to cabinet in September 2017. Implementation on agreed management actions to manage and control budgets ongoing work underway on 2018/20 budget. Departments working on 5% savings targets, to be presented to cabinet members in October 2017.</p>	5	5	25	<p>Continue to develop and evaluate Managing Demand projects to ensure delivery.</p> <p>Continued work on 17/20 savings options with CLT / ELT and Cabinet.</p> <p>Input to government review as part of 100% business rates retention and fair funding review to ensure needs analysis part of the formula reflects the pressures faced by Croydon. There is continued engagement with government on future changes including business rates, schools funding to ensure needs of Croydon are met.</p>	5	4	20

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
DASHPD0043 Solanki, Pratima	<p>The delivery of Outcomes Based Commissioning could be disrupted on the grounds that:</p> <ul style="list-style-type: none"> - The new alliance structure and form implementation is not extended. - Financial improvements in the health economy are not signed off by regulators. - Risk share model not agreed, particularly whilst CCG and CHS remain in special measures process and pending turn around outcome. - A model of system delivery which incorporates a full range of social care providers is not developed. <p>(Risk presented, reviewed and accepted at DLT 11/07/2017).</p> <p>Risk reviewed for Q2 (2017/18) at DMT 24/08/2017 and amendment required - Matt White, Rachel Soni and Pratima Solanki to action.</p>	<p>Inability to deliver 10 Year Outcomes Based Commissioning could result in major benefits for residents who are over 65 in Croydon not being realised and adversely affect the delivery of a sustainable health and social care economy. (Risk jointly owned with Sarah Ireland, Director C & I)</p>	<p>Peacock, Barbara People Department</p>	<p>Controls and resource in place to manage delivery of TRASC programme.</p> <p>Engagement of Social Care Commissioners in model of care development programme.</p> <p>Financial Improvement Process in place by CCG and CHS. Council Officer are linked into this process.</p> <p>Focussed Council and CCG savings process in place with transparency.</p> <p>OBC programme management in place and review of existing planned transition arrangements.</p> <p>Ongoing development of the inclusion of OBC as Croydon sub-set of SW London Sustainability Transformation planned involvement in health devolution piloting.</p> <p>Ongoing dialogue through Board to Board meetings to agree new structural and contractual model which involves Alliance Partnership including Providers and Commissioners.</p>	5	4	20	<p>Active participation at a wider level of social care commissioners in development of Care Model</p> <p>Bring forward benefits in the existing Model of care Initiatives and work up new initiatives at pace, pilot, test and scale up</p> <p>Contingency plans include use of system integrator service or open procurement</p> <p>Embed alliance working via one team approach</p> <p>Finalise risk share and content of alliance agreement with full leadership sign up</p> <p>Legal teams to provide options appraisal of structural and contractual models proposed by Commissioners and Providers.</p>	5	3	15

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
DASHPD0044 Solanki, Pratima	<p>Failure to manage the market for care services effectively.</p> <p>Provider market capacity cannot meet our demands at the cost budgeted for Care Market management incorporating:</p> <ul style="list-style-type: none"> - Demand for residential and nursing placements and homecare (domiciliary care) for Older People (OP) outstrips supply. - Disability placements continue to be made in residential settings at cost; Croydon commissions the highest number of LD placements across London. <p>Particular pressures around provider capacity particularly in relation to dementia services. Providers withdrawing from the market particularly due to national minimum wage issues.</p> <p>(Risk reviewed, amended and accepted at DMT 24/08/2017)</p>	<ul style="list-style-type: none"> - Budget pressure to ASC due to rising pricing as supply outstrips demand in London. The Council makes approx. 1000 placements per year. - Inability to divert budget to prevention due to the need to fund rising costs of care. - Decrease in available OP placements resulting in delayed discharge from hospital, and subsequent Delayed Transfer Of Care costs on ASC and our partners. - Managing the quality of providers as we are less able to be selective which providers we use. Pressure on our resources to contract monitor and conduct market management activities. - The cost of disability placements in residential settings is significant; resources are needed to identify and manage the local market to meet LD needs in community settings. - Supply in Croydon does not meet Croydon's needs- which leads to high number of external placements. - Reputational damage to the council for not meeting the needs of vulnerable people. - Likely increase in reported safeguarding incidents. - Inappropriate response to market failure. - Supply in Croydon does not meet Croydon's needs there is a high number of out of borough placements. - There is a very high number of provider relationships to be managed compared to other London Boroughs. 	Peacock, Barbara People Department	<p>3-year Inflation Strategy to enable financial planning and market stability has been agreed.</p> <p>A review of Learning Disability high needs placements resulting in more appropriate services to meet needs with reduced costs.</p> <p>Adult Social Care Market Statement. Position Statement and engagement with provider market advising of Croydon's requirements.</p> <p>Brokerage team actively managing market</p> <p>Demand management programme to focus on better outcomes for clients</p> <p>Have maximised OP block contracts through increasing nursing beds, and reducing voids.</p> <p>More monitoring officers have been recruited and provide better market intelligence and oversight.</p> <p>Placements team manage the OP residential and nursing placements; team have identified nursing placement capacity issues and sourced providers that increase the capacity in the system and ensured short term measures implemented, including rate management and block contract maximisation.</p>	5	4	20	<p>Continuation of the Learning Disability high need placement review</p> <p>Continuing to manage the market through the monitoring team</p> <p>Different models of service delivery being developed including preventing the demand for beds arising in the first instance</p> <p>Dynamic Purchasing System for procurement of care to be developed.</p> <p>Embedding of the Market Position Statement and market management strategy.</p> <p>Older People OBC Alliance that integrates health and social care will enable more efficient use of resources and the care market</p>	5	3	15

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
DASHPD0044 (cont.) Solanki, Pratima			Peacock, Barbara People Department	<p>The monitoring team is actively managing the care home and homecare market through quality monitoring, joint working with safeguarding, managing providers in provider concerns (and those in pre-provider concern).</p> <p>Transfer of existing beds in block arrangements from residential to nursing care to add capacity where needed.</p> <p>Use of own council bed capacity</p>							

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
RCSP0120 Ireland, Sarah	In year budget and future demand pressure in relation to SEN Transport. Independent travel programme not achieving projected cost avoidance and cost reduction target. (Risk reviewed and amended by owner 10/08/2017).	- Financial and Service impact. - Reputational damage.	Simpson, Richard Resources Department	Focus of programme is adjusted in line with areas of growth in demand and cost Financial models and associated trackers have been developed to monitor financial targets. Operating as part of the corporate Demand Management programme. Robust monitoring and governance in place through monthly boards attended by Members and chaired by the Exec Director of Resources and bi-monthly programme boards. Areas of focus: -Financial monitoring -Cost mitigation plans -Demand management -Alternative travel -Effective framework management and future procurement options -Integration of Adult Services	5	4	20	Development and implementation of full cost savings programme including policy change where the Council has discretion. Identify impact from SEN 5 year projection modelling. Improved partnership work with SEN and Adult Social Care. Review data to inform growth projections and future changes in demand and cost Tighter panel review and governance processes for all travel needs, with a particular focus on high cost cases	5	3	15