

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
EHSC0012 Peacock, Barbara	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.	<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. - Increased referrals to children's social care and associated service/financial pressures through lack of support to children/families at lower levels (Croydon's early intervention model). 	Peacock, Barbara People Department	<p>Children's Improvement Board chaired by Independent Officer.</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 * improve early help arrangements * strengthen Children's Safeguarding Board <p>Monthly budget plan, 'Hard to Place' panel and Early years implementation strategies.</p> <p>Review and response to resourcing requirements</p>	5	5	25	Implement new improvement plan & strengthen Croydon Safeguarding Board. Ongoing improvement identification.	5	4	20

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RCSCFS0001 Simpson, Richard	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.	<ul style="list-style-type: none"> - 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. - Increasing demands for services and support, for example the Council Tax support scheme arrangements (ASC & CSC). - Damage to reputation and service risk. - Reduction in resources. - Risk of failure to balance Budget and Failure to maintain capital investment strategy in infrastructure. (Strategic objective alignment: Enabling)	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 18/20 savings options with CLT / ELT and Cabinet.</p> <p>Focus on preventative measures and early intervention particularly with identified top 50 families</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

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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 the CCG 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>Following review of health and social care system by McKinseys recommendation to extend programme to whole population could carry inherent risk for the Council</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 - RCSP0125).</p>	<p>Peacock, Barbara People Department</p>	<p>Alliance agreement completed.</p> <p>Council commissioners.</p> <p>Financial Improvement Process in place by CCG and CHS. Council Officer are linked into this process.</p> <p>Focused Council and CCG savings process in place with transparency.</p> <p>Local authority actively engaged in delivering the STP OOH business case.</p> <p>OBC and ASC transformation programmes aligned.</p> <p>Older Peoples Commissioner a key lead in OBC governance.</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> <p>Review existing planned transition arrangements.</p>	5	4	20	<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>Continued emphasis on strengthening out of hospital co-ordination role</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

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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>	<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>	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>Focus on supported living schemes and 'step down' approaches</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

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				<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> <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>							

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EHSC0001 Peacock, Barbara	<p>A continuing rise in unaccompanied asylum seekers (minors) where there is a statutory obligation to provide care/housing and a reduction in Home Office funding for them. There are additional implications in respect of the increases in relation to trafficked children and missing children as well as the implications of placing children we do not know in placements outside of the borough.</p> <p>There are also challenges being faced in the successful implementation of the National Dispersal Scheme and Immigration Act.</p>	<p>- Significant service and staff resources pressures, with pressures on placement supply in-house and in the independent sector, and pressures on school places and LAC health services. - Impact on Council revenue budgets as a result of insufficient funding.</p>	Peacock, Barbara People Department	<p>Continued work with the Home Office to ensure that only appropriate young people are placed.</p> <p>Emphasis on wider negotiation of fair funding arrangements for Croydon</p> <p>Increased use of the rota to place young people in other boroughs</p> <p>The Council has held meetings with the Immigration Minister and others in Home Office. Ongoing correspondence, conversations and clarifications with Home Office taking place.</p>	5	4	20	<p>Additional commissioning arrangements for Health services.</p> <p>Financial implication / impact for 2018/19 financial year Scoping of financial risk / impact for each quarter.</p> <p>Further engagement with Home office and Association of Directors of Children Social Services</p> <p>Implementation of the National Transfer Scheme</p> <p>Pathway Plans pathway plans identified and to be incorporated</p> <p>Service redesign in accordance with Immigration Act requirements service redesign / delivery in accordance with requirements of Immigration Act.</p> <p>Work to realise opportunity presented by the Immigration Bill and formal system for dispersing unaccompanied child migrants introduced by central government</p>	5	4	20

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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.	- 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. New SEN Free School in New Addington to reduce demand for SEN transport across borough 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