

## Appendix1 Risk Register Red Risks

| Risk Ref                          | Risk Scenario   |                                 | Assigned To  | Current |        |       | Future Risk Rating |        |       |
|-----------------------------------|---|---------------------------------|--|---------|--------|-------|--------------------|--------|-------|
|                                   | Risk  | Impact                          |  | Impact  | L'hood | Total | Impact             | L'hood | Total |
| CIC0008<br><br>Rhys-Lewis,<br>Huw | Wholesale gas, electricity and utility costs increasing and risk of continual increases placing unsustainable financial burden on the council, in addition that school energy recharges are recovered with that process having started in January 2023.<br><br>Review & Update - Team Leader (Sustainability & Energy) put into contract with LASER on energy packages. Gas is the key area, as bulk suppliers have little storage capacity due to UK closure of much of storage facilities and capacity relying on piped liquified gas, which is under strain due to increased global demand from Asian Continent. | Financial impact on the council | Rhys-Lewis,<br>Huw<br><br>Last Review:<br>14/08/2023<br>Last Amended :<br>14/08/2023<br>11:51:32 | 5       | 5      | 25    | 4                  | 4      | 16    |

## Existing Controls

- Pursuing a number of procurement options -looking at:  
Group procurement  
Specialist mid term fixed contracts  
Forward spot hedging opportunities
- Reducing consumption inc restricted running hours at BWH -

## Future Controls

- Admin support being recruited to assist with school energy charges recovery
- Reviewing Energy Strategy including: Green / Sustainability agenda  
Lower CO2 footprint  
Seeking Carbon Neutral opportunities  
Presenting back to Members

Review Date

27/01/2023

30/06/2023

| Risk Scenario                     |  |   |  | Current |        |       | Future Risk Rating |        |       |
|-----------------------------------|--|---|--|---------|--------|-------|--------------------|--------|-------|
| Risk Ref                          | Risk   | Impact  | Assigned To  | Impact  | L'hood | Total | Impact             | L'hood | Total |
| CIC0012<br><br>Rhys-Lewis,<br>Huw | Contract Management and Supply Chain risk, including inflationary pressures, facing council. Implications for revenue and capital programme. | <ul style="list-style-type: none"> <li>• Poor planning risks procurement challenge, poor supplier relations and overspend.</li> <li>• Non-compliance, budget overspend.</li> <li>• MTFS targets not met, poor supplier relations.</li> <li>• Reputational damage.</li> <li>• Political interest and scrutiny.</li> <li>• Media interest and scrutiny.</li> <li>• some contracts impacted</li> </ul> | Rhys-Lewis,<br>Huw<br><br>Last Review:<br>14/08/2023<br>Last Amended :<br>14/08/2023<br>11:48:48 | 5       | 5      | 25    | 4                  | 3      | 12    |

**Existing Controls**

- Accurate contract register operational. -...
- Additional procurement capacity and new structure for C&P implemented -
- Contract actions monitored to ensure that they are delivered on time, - including contract savings programme and statutory/ discretionary assessment;
- Contract Improvement Plan established. -
- Enhanced governance arrangements designed and agreed at CMT -

**Future Controls**

- Internal Control Board Workshops to be run

Review Date  
28/07/2023

| Risk Scenario               |   |  | Current  |        |        | Future Risk Rating |        |        |       |
|-----------------------------|---|--|--|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                    | Risk  | Impact   | Assigned To  | Impact | L'hood | Total              | Impact | L'hood | Total |
| HSI0023<br><br>Sen, Susmita | <p>Increased volumes of cases relating to damp and mould plus disrepair.</p> <p>The tragic death in Rochdale, connected to damp and mould has raised the profile of similar cases across the sector and in Croydon. As a result the SoS and the Regulator for Social Housing has written to all housing authorities asking them to set out their approach to Damp and Mould. The risk to the authority is that not only could the number of reported cases increase, but also that the repair service does not resolve cases in a timely manner that then impacts the health of wellbeing of residents. This could result in adverse findings from the Housing Ombudsman and or the regulator.</p> <p>A significant portion of disrepair cases are linked to damp and mould , therefore this could further increase the risk of number of disrepair cases raised under the disrepair protocol and as a result of The Homes (Fitness for Human Habitation) Act 2018.....</p> | <p>Damp and mould cases are not managed in a timely manner which impacts the resident's health and wellbeing. This could result in increased finding against the council by the housing ombudsman and or regulator.</p> <p>Currently disrepair claims are brought in accordance with the well-established 'pre-action protocol for disrepair claims'. An increase in repair claims which could be driven by:</p> <ul style="list-style-type: none"> <li>• Increased awareness of the ability to claim and to get compensation driven in part by targeted and aggressive advertising and social media campaigns by law firms and claims companies.</li> <li>• The cut to legal aid, as a result a number of law firms have change tactics to increase their revenue by concentrating resources into disrepair cases and we have seen an increase in solicitors door knocking and reported two firms to the Bar Council.</li> <li>• The Homes (Fitness for Human Habitation) Act 2018 which came into effect April 2019.</li> <li>• Cases where we have not due to other maintenance priorities addressed problems with the external fabric of our buildings. This requires an ongoing programme to address rendering failures, DPC, Cavity insulation and roofing renewal.</li> </ul> <p>There has been a significant increase in disrepair cases in the last year and in costs. Claims are predominantly (around 95%) related to damp and mould.</p> | <p>Austin, Jerry</p> <p>Last Review: 20/09/2023<br/>Last Amended : 20/09/2023 11:03:20</p> | 5      | 5      | 25                 | 4      | 4      | 16    |

**Existing Controls**

- Analysis of the disrepair cases in the last year has -changed the process that has been in place with maintenance contractor to ensure all reports of damp are inspected and that the Council separate the issues of dampness vs those caused by ongoing leaks....
- Develop policy, procedure and action plan to address damp and mould -Since December a review of the procedure has been undertaken a new procedure has been put in place, which priorities cases. This needs to be formalised.
- New resource to manage damp and mould -New team established, including damp and mould lead, surveyor and admin resource in place from January 2023
- Reviewed management of damp and mould/disrepair cases by in house team - close working with internal legal team -Additional interim resources brought in to support capacity. Disrepair hub set up with new policy and procedure set up to manage cases.  
Revised approach in place for working with inhouse legal team to ensure cases are effectively managed
- Two weekly review meeting with Corporate Director -Review meetings set up with Corporate Director and team to manage improvement plan for disrepair.
- Use of additional contractors for disrepair including damp and mould -The number of contractors has been expanded to increase resilience in delivery

**Future Controls**

- Framework for additional contractors Procurement of additional contractors commenced to ensure future resilience in delivery
- Good data about our stock and investment Through our stock condition survey and repairs data ensure we have good information about our stock , that can inform our asset management strategy and future investment in our homes
- Implement an inspection regime that is based upon good data Inspectors to visit neighbourhoods/ similar archetype properties to those where damp has been identified. Complement this with tenancy visits base upon a priority basis
- Improve the voids lettable standard with a focus on damp and mould prevention Review the approach at void stages of the councils homes
- Resources for disrepair work are being urgently reviewed Interim resources in place - review of structures underway.
- Review use of de-humidifiers and monitors with Asset Management Team to increase use of emerging damp monitoring technology and industry improvements .

Review Date

31/03/2023

31/03/2023

28/02/2023

30/03/2023

31/03/2023

| Risk Scenario                     |  |   | Current   |        |        | Future Risk Rating |        |        |       |
|-----------------------------------|--|---|---|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                          | Risk   | Impact  | Assigned To   | Impact | L'hood | Total              | Impact | L'hood | Total |
| PR0013<br><br>Agbakiaka,<br>Karen | Sustainable Parking Services Income<br><br>Reduction in income that is generated through charges applied to appropriate parking spaces across the borough.<br>Reduction in PCN income via civil enforcement officers and or ANPR camera enforcement.<br><br>Covid has had a significant impact on parking income and with the general reduction in demand / footfall, in addition the ambitious introduction of more camera led enforcement has not been delivered to plan due to a number of factors. | inability to balance the budget due to Income loss through pay and display and penalty charge notices | Agbakiaka,<br>Karen<br><br>Last Review:<br>21/08/2023<br>Last Amended :<br>18/09/2023<br>16:26:36 | 5      | 5      | 25                 | 4      | 3      | 12    |

#### Existing Controls

- Develop and implement additional schemes for ANPR (School streets, box junctions etc) -Additional schools streets built into the programme for 22/23 financial year - these are subject to either TfL LIP funding, S106 and or a spend to save bid through capital funding)
- Developed a MTFS growth form to right-size parking income -Introduced growth to income budgets to align budget for 23/24 and onwards - this control measure is completed and the growth bid forms part of the MTFS 23/24 onwards.
- To develop a monthly dashboard for accurate forecasting and reconciliation of income . -- Controls are in place to monitor all income streams on a monthly basis.
- Development a financial management dashboard to provide accurate information for transactions and income to form part of the monthly monitoring process.
- Undertake monthly reconciliation of income coming into the councils financial system and parking back office system .
- Dedicated corporate financial support to work with the service to ensure systematic financial management is in place.
- Working with London Councils & Peers across London to benchmark the parking account.

#### Future Controls

- Strategic review of the parking policy The council has a parking policy 19/22, work is underway to review the 19/22 parking policy to reflect the changes in parking behaviour's, in addition a review of the approach to emissions based P&D and Permits.

Transformation bid completed and submitted for the funding to undertake the above policy review , governance and board being established.

Revised policy is scheduled for Mayor and cabinet meeting July 2023

Review date: - May 2023

Review Date

28/02/2023

| Risk Scenario                       |  |   | Current   |        |        | Future Risk Rating |        |        |       |
|-------------------------------------|--|---|---|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                            | Risk   | Impact  | Assigned To   | Impact | L'hood | Total              | Impact | L'hood | Total |
| PST0001<br><br>Cheesbrough, Heather | The Whitgift Centre is not redeveloped in a timescale to deliver the necessary regeneration of the town centre which promotes economic activity and vitality<br><br>Covid 19 and general economic uncertainty has created a challenging environment for town centre development. The Whitgift redevelopment was removed from the Unibail development pipeline in Feb 20 and there is no date for the redevelopment to commence. In April 2023 Unibail bought out Hammerson's share of the 50/50 Croydon Limited Partnership. The implications of this in respect of a development programme, the ambition, quantum of inward investment, the existing Indemnity with the Council and related due diligence needs to be urgently understood from Unibail. The Whitgift CPO has now expired but still requires claims to be settled. | <ul style="list-style-type: none"> <li>Major economic, regeneration and social impact on the vitality and viability of the Town Centre and North End</li> <li>Political and media scrutiny</li> </ul> | Cheesbrough, Heather<br><br>Last Review: 20/09/2023<br>Last Amended : 20/09/2023 09:08:42 | 5      | 5      | 25                 | 4      | 5      | 20    |

**Existing Controls**

- Communication channels between politicians and officers with Unibail remain open and productive . -
- LBC to continue to press Unibail for a robust Meanwhile and Management Strategy to maintain footfall -with monthly meetings to exchange enquiries/contacts and proposals
- Officers and their consultant team seek to hold Unibail to account to manage the remaining CPO expiry process . -
- Refreshed due diligence around Unibail and Parent Company Guarantees as set out in the ILTA -Due diligence around CLP and Parent Company Guarantees was undertaken c.10 -13 years ago. This should be refreshed in the light of the passage of time and the recent buyout of Hammerson shares, which sees all liability now with Unibail.
- Regular communication with the Whitgift Foundation -The Foundation is the freeholder of the majority of the site.
- Regular meetings at strategic and operational levels with Unibail to maintain dialogue between partners. -
- Regular meetings of the Mayor's Advisory Town Centre Board -to seek to collaborate and in partnership with stakeholders to support the regeneration of the town centre and to seek to hold Unibail to account.
- Robust record keeping and retention of professional advisor team who have been involved since the beginning of the project -
- The Council through its statutory powers - Local Planning Authority (LPA), CPO and land assembly, and as a Highway Authority. -
- The Indemnity Land Transfer Agreement (ILTA) sets out the responsibilities of the parties, penalties with. -timeframes, which will need to be complied with and will need to be actively managed.

| Future Controls  | Review Date |
|--|-------------|
| - Agree with Unibail a series of remedies to offset non-delivery of the scheme envisaged by the ILTA to provide the opportunity for short to medium term viability of the Town Centre and North End. Whilst also setting a programme for the phased redevelopment of the Whitgift in the medium to long term.        | 07/11/2023  |
| - End the ILTA arrangements entirely with agreement, but would have to address all outstanding issues, land transfer, compensation and make provision for various outstanding claims. (Completion financial year 2021/22). This would have a significant financial impact that would need to be negotiated with CLP. | 07/11/2023  |
| - The Council seeks to introduce a new development partner, once the ILTA expires (February 2026). ...   | 07/11/2023  |
| - The preparation of a new Indemnity Land Transfer Agreement (ILTA) that reflects the changed circumstances. (Completion financial year 2025/26). This would require the agreement of both parties   | 07/11/2023  |

| Risk Scenario         |  |  | Current   |        |        | Future Risk Rating |        |        |       |
|-----------------------|--|--|---|--------|--------|--------------------|--------|--------|-------|
| Risk Ref              | Risk   | Impact   | Assigned To   | Impact | L'hood | Total              | Impact | L'hood | Total |
| RCS0040<br>West, Jane | The Council does not achieve financial sustainability due to historic borrowing totalling £1.6 billion and remains reliant on annual extraordinary central government support. | <ul style="list-style-type: none"> <li>Do not meet terms and conditions set out by DLUHC in Capitalisation Direction Agreements.</li> <li>Inappropriate financial behaviour and practice.</li> <li>Political scrutiny applied at local and national level.</li> <li>Media interest and scrutiny at local and national level.</li> <li>Impact on reserves</li> <li>Further S114 notices in future</li> <li>Reputational damage.</li> <li>Not balancing 24/25 financial year and future years</li> </ul> | West, Jane<br><br>Last Review: 07/08/2023<br>Last Amended : 07/08/2023 11:29:36 | 5      | 5      | 25                 | 5      | 5      | 25    |

#### Existing Controls

- Financial assurance review meetings monthly -Each directorate management team meets with the Chief Executive and the S151 Officer monthly to review their overall financial position , current and future. This year, the capital programme will also be reviewed.
- Oversight by DLUHC Improvement & Assurance Panel. -
- Public consultation activity -The next public engagement exercise is due to start in November. Preparations are underway and a timetable is being drafted. The inclusion of the Scrutiny and Overview Committee and its sub-committees will be discussed with the Chair in the early autumn.

#### Future Controls

- Budget Working Group in place to programme manage the MTFS process The focus of the BWG is currently preparation of the October MTFS paper and in particular the EQIAs. Focus will then shift to the preparation of the February/ March Council Tax Setting papers.
  - Work being undertaken with the Department for Levelling Up , Housing and Communities to balance future year budgets Fortnightly meetings are timetabled with DLUHC officers to review progress
- Two workshops have been held over the summer with DLUHC officers who are currently in discussion with Treasury officers  
DLUHC are aware of the timetable of the October 2023 MTFS report and the February/March 2024 Council Tax papers

Review Date

11/03/2024

11/03/2024

| Risk Scenario                   |   |   | Current  |        |        | Future Risk Rating |        |        |       |
|---------------------------------|---|---|--|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                        | Risk  | Impact  | Assigned To  | Impact | L'hood | Total              | Impact | L'hood | Total |
| ASC0039<br><br>Robson,<br>Simon | The quality of data, performance recording and insight impacts on operational and strategic oversight and service delivery.<br><br>Reviewed - 15/05/23 CB<br><br>Reviewed 30/05/23 - SR/CB<br><br>Reviewed 21/08/23 - CB/SR | Poor outcome from CQC assurance leading to directorate and council-wide reputational damage.<br>Inability to direct resources effectively to meet business need.<br>Inability to effectively forecast demand management and align allocation of resources to meet business need.<br>Inability to effectively manage staffing caseloads.<br>Inability to deliver accurate national data sets.<br>Inability to deliver accurate data to strategic partners. | Robson, Simon<br><br>Last Review: 21/08/2023<br>Last Amended : 21/08/2023 14:36:12 | 4      | 5      | 20                 | 4      | 4      | 16    |

**Existing Controls**

- Change Control Panel in place -
- Children and Adult Systems Board in progress -
- CQC Data Workstream in place -
- Data cleansing project underway -
- Data review through monthly Performance Board -
- Development of reporting BI Dashboards with Performance team to support all levels of staff -
- Leicestershire County Council visit to review best practice -
- Weekly task tray review in place -

|   |                    |
|---|--------------------|
| <b>Future Controls</b>  | <b>Review Date</b> |
| - Adult Strategic Systems Service Manager to be appointed   | 30/09/2023         |
| - Principal Social Worker and Head of Service Action Plan To improve quality of recording consistency of data capture , monitored through supervision.<br>Series of meetings with HoS in the diary to review issues and areas around data cleansing.<br>Identification of issues and associated mitigations and target dates for completion.<br>Tracking of data cleansing performance. | 30/06/2023         |



| Risk Scenario                 |   |  | Current  |        |        | Future Risk Rating |        |        |       |
|-------------------------------|---|--|--|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                      | Risk  | Impact   | Assigned To  | Impact | L'hood | Total              | Impact | L'hood | Total |
| ASCI0016<br><br>Byrne, Bianca | <p>Croydon Council are currently in a Section 75 partnership with SLaM to deliver an Integrated Adults Mental Health Service. Current risk identified- Potential breach of local authority Care Act Statutory responsibilities due to lack of evidenced currently available from SLaM of adult social care interventions.<br/>(Please note linked to risk ASC0033 owned by Simon Robson regarding AMP service).</p> <p>This is placing increased pressure on alternative social work teams where vulnerable residents are not able to get their care act needs met and is resulting in some people's recovery being delayed due to interventions not taking place in a timely manner. Alternative routes to support individuals could also be more costly placing pressure on existing budgets.</p> | <p>Non compliance with Care Act statutory requirements<br/>Reputational risk<br/>Vulnerable residents not receiving interventions or assessment they are entitled to<br/>Increased costs and resources</p> | <p>Byrne, Bianca</p> <p>Last Review: 05/09/2023<br/>Last Amended : 21/09/2023 15:30:28</p> | 4      | 5      | 20                 | 4      | 2      | 8     |

**Existing Controls**

- A Section 75 Review project group has been established and have been meeting fortnightly since the 13th June 2023. - The project group is made up of senior staff from SLaM and Croydon Council. The group are working to establish ways to evidence adult socail care interventions and improve current pathways to ensure access to the service is equitable. Greater understanding on the financial arrangements and staffing structures are also being reviewed to determine if the resourcing of the service is adequate.
- Adult Mental Health Social Care Placement and Reviews Plan -To improve Adult Social Care statutory functions in terms of assessments , reviews, placements and packages of care.
- Carers Assessment Reviews -Review of Carers Assessment and Reviews Process: Completed. Recommendations not yet implemented.
- Croydon Adult Mental Health Social Care Quality Assurance Plan/Mental Health Monthly Performance Framework: -Developed to implement, monitor and evaluate Adult Social Care interventions in Adult Integrated Mental Health Service – in progress.

**Future Controls**

Review Date

- Complete S75 Agreement Review and implement Agreed Delivery Model and Framework . Effective monitoring and management of the agreement if the service remains as an integrated function.
- If a solution to the existing risk is not found then greater control measures may need to be sought in terms of looking at an alternative delivery model.
- Target date: 01 January 2024

| Risk Scenario             |   |  | Current   |        |        | Future Risk Rating |        |        |       |
|---------------------------|---|--|---|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                  | Risk  | Impact   | Assigned To   | Impact | L'hood | Total              | Impact | L'hood | Total |
| ASCI0019<br>Byrne, Bianca | <p>It has been identified that information held in Controcc and LAS relating to placement name, provider name and parent organisation is not accurate in one or more fields.</p> <p>The risks are identified as follows –</p> <ul style="list-style-type: none"> <li>Information in the care management system (LAS) maybe out of date – this means it does not reflect the proper or current naming conventions of care homes or providers where placements are made. In some cases the name of the care home is not recorded (except buried in case notes or as part of an address field) because a company name has been loaded as a care home (and that company may no longer exist).</li> <li>In the event of a care home or provider level safeguarding concern or a planned or unplanned exit from the market of a provider it is difficult to be sure how many people are placed in each location or with each provider</li> <li>The Council does not have proper commerical oversight on circa £100m of expenditure on Adult Social Care placements – i.e. the Council can not properly identify the ownership of locations where it makes placements without a significant amount of manual reconciliation with the CQC database. This makes it difficult to carry out it's normal business of commercial conversations, inflation uplifts and market oversight ( a Care Act Duty) as the Council can not say that they spend £Xm with Y provider relating to Z placements with any level of confidence. The Council often also does not know which provider companies are part of which larger corporate group without relying on manual research</li> <li>There is a risk relating to the forthcoming CQC Assurance process , relating to market oversight</li> <li>There is a risk to the forthcoming Delivery Partner Diagnostic – as the data quality identified in this risk template on LAS and Controcc is so poor</li> <li>Unable to make changes to allow the system to properly report which will help the new Delivery Partner and the delivery of Medium Term Financial Strategy savings.</li> </ul> | <ul style="list-style-type: none"> <li>There is a potential reputational/legal impact to the Council for failing to identify that people are placed in services with serious safeguarding concerns or failing to identify where an individual is placed if a safeguarding should arise.</li> <li>There is an impact on the Council being able to discharge it's Care Act Duty for market oversight – because it does not properly understand the make up of the market it purchases care from in a systemic way</li> <li>There is an impact on the Council in commercial negotiations and conversations around the cost of care – because it does not properly understand the make up of the market it purchases care from in a systemic way</li> <li>The Council can not further develop it's Business Intelligence reporting on £100m of spend as the source information is incorrect</li> <li>There is an impact on the Council if the CQC publishes an adverse finding relating to Market Oversight</li> <li>There is an impact on the future delivery of the MTFs if the Delivery Partner diagnostic is impeded by poor data quality</li> </ul> | Byrne, Bianca<br><br>Last Review:<br><br>Last Amended :<br>21/09/2023<br>11:20:19 | 4      | 5      | 20                 | 2      | 2      | 4     |

**Existing Controls**

- LAS/Controcc – for updating placement/provider names - None -For provider/ownership – periodic manual reconciliation with data published by CQC to inform the Head of Placement & Brokerage plus shared knowledge amongst individual members of staff

**Future Controls**

- Agree a new process for setting up new placements to ensure consistency (and then include in monthly reconciliation)

- Agree a process to update LAS and Controcc, including ensuring that it does not impact on the Payment Runs in Oracle

- Carry out a monthly reconciliation to the CQC data base to identify any locations with changed naming conventioins, and updat

- Correct LAS and Controcc to reflect current naming conventions – including recording CQC Location ID on LAS

- Dedicare expert resource required to fix issues and look at long term solutions in light of the above and other data issues

Review Date

| Risk Scenario            |   |   | Current  |        |        | Future Risk Rating |        |        |       |
|--------------------------|---|---|--|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                 | Risk  | Impact  | Assigned To  | Impact | L'hood | Total              | Impact | L'hood | Total |
| CDS0003<br>Golland, Paul | Sustained failure of systems critical to council service delivery as a result of technical failure, lack of support from suppliers or lack of availability of internal resources (staff - i.e. single point of failure).<br>Capital Programme Investment dimension. | <ul style="list-style-type: none"> <li>Increase in complaints/correspondence,</li> <li>Staff unable to work or work effectively,</li> <li>Financial cost to Council - cash flow relationship with contractor, inaccurate calculations and payment.</li> </ul> | Golland, Paul<br><br>Last Review: 19/09/2023<br>Last Amended : 21/09/2023 11:22:49 | 5      | 4      | 20                 | 5      | 2      | 10    |

**Existing Controls**

- Contract monitoring in place. -All new contracts involving technology managed via CDS
- Contractor liaison. -Regular meetings with Little Fish
- Default actions contract. -
- Escalate current contractual actions. -
- Identify future/alternative service providers -core service delivery contracts currently being reviewed - systems contracts part of ongoing roadmap
- Improved infrastructure for Iclipse system, -new hardware platform for the system will improve reliability and maintenance arrangements.  
Iclipse replaced by NEC Enterprise document management system - hosted by supplier
- Increased monitoring and reporting arrangements. -Move remaining services away from Fell Road site to move fell road services to better infrastructure with improved DR and service support.  
move from data centre to Azure cloud completed

**Future Controls**

- Create dashboard to provide RAG based breakdown of 'failure concerns' by system Create dashboard to provide RAG based breakdown of 'failure concerns' by system (part of systems governance measures agreed by DICB)
- To conduct a DR test to locate issues and build confidence

Review Date

31/08/2023

31/03/2023

| Risk Scenario            |  |  | Current  |        |        | Future Risk Rating |        |        |       |
|--------------------------|--|--|--|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                 | Risk   | Impact   | Assigned To  | Impact | L'hood | Total              | Impact | L'hood | Total |
| CDS0026<br>Golland, Paul | <p>Access Croydon staff and customers are not safe as customer cohort can be unpredictable with residents presenting with sensitive issues<br/>Customers can present with:</p> <ul style="list-style-type: none"> <li>- MH issues</li> <li>- Substance misuse</li> <li>- Prison releases</li> <li>- Crisis</li> <li>- Lots of single homeless approaches</li> <li>- Credit union customers are unpredictable</li> <li>- Turnaround centre are not dealing with housing issues for young people</li> <li>- Housing are reducing use of supported accommodation</li> <li>- Homelessness appointments are a 4 month wait</li> <li>- Staff are not necessarily in the office to deal with frustrated residents and difficult messages</li> <li>- Family justice centre - there are a delay in referrals and appointments</li> <li>- Access Croydon environment is not fit for purpose with areas unusable due to poor heating and a broken glass roof</li> </ul> <p>With all of the above Access Croydon has become a melting pot of vulnerabilities mixed with residents with children all posing a risk to individual safety.</p> <p>There are not sufficient safety measures currently in place to protect staff and other customers when residents become violent.</p> | <ul style="list-style-type: none"> <li>- Staff health and wellbeing</li> <li>- Customer staff and wellbeing</li> <li>- Staff and resident safety - staff and residents are at risk of physical harm and attack</li> <li>- Assets - Councils assets are at risk of being broken and damaged</li> <li>- Reputational damage</li> <li>- Behavioural - because of the environment and layout Access Croydon does not promote good behaviours amongst some resident cohort</li> </ul> | Golland, Paul<br><br>Last Review: 19/09/2023<br>Last Amended : 19/09/2023 12:38:59 | 4      | 5      | 20                 | 3      | 4      | 12    |

| Existing Controls   |
|---|
| <ul style="list-style-type: none"> <li>- a safe room for vulnerable residents -those who are fleeing DV, gangs, autism, nursing mothers need a safe room</li> <li>- Comms with services about who is expected -</li> <li>- Red file -</li> <li>- Security at the door -Guards have been briefed and have knowledge of volatile residents</li> <li>Call police if required</li> <li>Log H&amp;S incident reports</li> <li>Use of red file</li> </ul> |

| Future Controls  | Review Date |
|--|-------------|
| - de-escalation training for front line Access staff Look at training material for Access staff<br>Work with ASB team and H&S team at de-escalation techniques and training                                      | 31/05/2023  |
| - emergency protocol to be drawn up An emergency protocol to be written for staff to be aware of what to do should an incident occur such as locking down Access   | 31/05/2023  |
| - High calibre of security staff work with FM to ensure correct staff in place at Access Croydon   | 30/06/2023  |
| - Improved comms and visibility of security  |             |
| - move credit union moving credit union to a different area will reduce the vulnerable cohort mixing with customers with children  | 30/06/2023  |
| - Review vulnerable front door access Consider a separate front door for vulnerable housing customers who require expert advice and attention. removing them from the main public cohort reduces risks to others | 30/06/2023  |
| - Security screens and an enclosed desk area to be looked at   | 30/06/2023  |
| - Uniform including stab vests and cameras   | 30/06/2023  |

| Risk Scenario            |  |   |  | Current |        |       | Future Risk Rating |        |       |
|--------------------------|--|---|--|---------|--------|-------|--------------------|--------|-------|
| Risk Ref                 | Risk   | Impact  | Assigned To  | Impact  | L'hood | Total | Impact             | L'hood | Total |
| CDS0035<br>Golland, Paul | <p>Subject matter experts (SMEs) who support many of the Council's critical IT systems are single points of failure (SPoF) and eligible to retire meaning there is significant risk of these systems effectively becoming unsupported unless.</p> <p>Additionally, the specific configuration of these systems has a substantial learning curve for ensuring any replacement can adequately support the setup of the system. These skills are not readily available in the market, have a premium salary expectation, and most likely need investment in supplier-approved training programmes to get to the necessary level.</p> <p>CDS Digital Systems Team (DST) has a total of 8 application engineer roles (3 of which are senior). At the current time, 1 position is vacant which has had a poor response when advertised, 2 are over retirement age, 2 are over 60, and 2 are within a couple of years of 60. All have 10+ years' experience of supporting Croydon's critical systems.</p> | <ul style="list-style-type: none"> <li>Line of business systems which are relied on by front-line services are unsupported leading to key processes not being able to function, or statutory services being reduced or prevented altogether</li> <li>Significant challenge of IT department being able to continue to support the following systems should any of these SMEs elect to retire or are unable to continue working: <ul style="list-style-type: none"> <li>System: Idox Uniform used by: Planning, Building Control, Environmental Health, Commercial Licensing, Trading Standards, Food Standards</li> <li>System: Visual Files used by: Legal services and external legal</li> <li>System: Civica Express (Election Management System) used by: Democratic Services</li> <li>System: Business Objects used by: Adults and Childrens Social Care</li> <li>System: Corporate GIS used Corporately</li> <li>System: Capita One used by: Education</li> <li>System: SharePoint used Corporately</li> <li>System: OHMS used by: Housing</li> <li>System: CASPAR used by: Adults Social Care</li> <li>System: Epilog used by: Crematorium &amp; Registrars</li> </ul> </li> </ul> | Golland, Paul<br><br>Last Review: 19/09/2023<br>Last Amended : 19/09/2023 12:39:53 | 5       | 4      | 20    | 3                  | 2      | 6     |

**Existing Controls**

- Cloud first architectural principle for all new applications -reduces the support complexity and ensures supplier supports most of the infrastructure needed by the application
- Digital Internal Control Board setup so there is a forum to discuss governance and continuity at a strategic level - Review of loss of technology under review by Business Continuity Team following Capita print server incident. Following the incident it was identified that services did not in the majority have BCP plans to cover for major /total loss of technology.
- Evidence that steps in the agreed implementation plan are progressing successfully -/ 11 - Once the CDS capability review starts, think this measure can be closed/made EXISTING as the review is the evidence
- TUPE'd the Application Management Support team back into IT from Capita -(after unsuccessful outsourced experience which saw support capacity reduce and substantial knowledge loss which hasn't been replaced)

| Future Controls  | Review Date |
|--|-------------|
| - Discussions with suppliers of these systems around how they could support us if needed /08 - CDS capability review commissioned to define support target operating model incl role of suppliers > 31/3/23<br>08 - ongoing Target 30/6/23   | 30/06/2023  |
| - Document and agree a resource plan (recruitment, training, cross-skilling, etc.) /07 - CDS capability review commissioned to define support target operating model incl resource plan to fill any gap identified > 31/3/23<br>07 - ongoing Target 30/6/23  | 30/06/2023  |
| - Proposed systems dashboard highlighting at risk systems produced and discussed at Digital Control Board /04 - Paper approved by Digital Control Board - Systems Governance sub-group to be formed who will finalise dashboard format and oversee its completion and upkeep - review date > 15/2/23<br>04 - progressing but not complete Target 30/4/23 | 30/04/2023  |
| - Review apprenticeship options /09 - CDS capability review commissioned to define support target operating model incl apprenticeships > 31/3/23<br>09 - part of capability review Target 30/6/23  | 30/06/2023  |

- Review support profile of each system to identify skills and resources needed to support each (skills matrix) /06 - CDS capability review commissioned to define support target operating model incl skills and resourcing > 31/3/23 30/06/2023  
06 - part of capability review Target 30/6/23
- Secure funding (if required) to implement resource plan /10 - CDS capability review funded from transformation - discussions with finance on converting capital to revenue - target operating model will clarify cost basis for the services provided > 31/3/23 30/06/2023  
10 - part of capability review Target 30/6/23
- System roadmaps of impacted systems documented, highlighting opportunities to mitigate risk through procurement, rationalisation /05 - Paper approved by Digital Control Board - Systems Governance sub-group to be formed who will oversee roadmap standards - creation of initial roadmaps to the agree standards to follow > 3/4/23 31/07/2023  
05 - ongoing Target 31/7/23

| Risk Scenario                   |   |  | Current  |        |        | Future Risk Rating |        |        |       |
|---------------------------------|---|--|--|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                        | Risk  | Impact   | Assigned To  | Impact | L'hood | Total              | Impact | L'hood | Total |
| CEHR0071<br><br>Shoesmith, Dean | Organisational behaviours, culture and practices lead to the Council being unable to operate effectively and therefore not serve the residents of the borough and internally within the council in accordance with their expectations.<br><br>Grant Thornton - 'Report in the Public Interest' recommendation number(s): 1-20.... | <ul style="list-style-type: none"> <li>• Increasing and uncontrollable financial loss.</li> <li>• Legislative action due to non-compliance with statutory obligations.</li> <li>• Workforce behaviours critically damage the organisation.</li> <li>• Political scrutiny and interest at local and national level.</li> <li>• Media interest at local and national level.</li> <li>• Staff morale.</li> <li>• Continuing and increasing reputational damage.</li> <li>• Government intervention.</li> <li>• Employment tribunals and potential for litigation</li> <li>• HR process</li> <li>• Recruitment and retention of staff</li> </ul> | Shoesmith, Dean<br><br>Last Review: 16/08/2023<br>Last Amended : 16/08/2023 18:21:32 | 5      | 4      | 20                 | 5      | 3      | 15    |

**Existing Controls**

- A provider has been selected and appointed for the culture change programme -all staff will be re-inducted through to ensure the workforce as a collective is aligned to, and achieves, appropriate standards of behaviour and conduct to serve the Council's residents and customers . The provider will be commencing the design work of the programme with immediate effect and working in close collaboration with the Chief Executive , CMT and HR and OD to ensure clear objectives, milestones and outcomes are established.
- Coaching and mentoring informal and formal -
- Corporate behaviours and ways of working are core elements -to job descriptions and new performance management system.
- Corporate Director Assurance Statements provided annually . -
- Dedicated Learning & Organisational Development Team supporting culture change -as a key element to Croydon Renewal Plan with core expectations on compliance and accountability.
- Detailed policies and procedures in place and reviewed by relevant accountable officer / team regularly. -
- Facilitators are now trained. -
- Governance Framework in place which is modelled on the CIPFA / SOLACE methodology. -
- Internal Audit Programme developed and delivered each financial year . -
- New Appraisal System now in place -
- Ongoing engagement with staff. -
- Refreshed manager and staff behaviours and mandatory core training -including good governance and accountability framework schemes to ensure the Council maintains up to date and relevant adherence to legal requirements and initiatives as they relate to organisational best practice and workforce development and enhancement.
- Risk Management Framework in place. -
- The Crossing the Threshold Culture Change Programme is being rolled out initially through building a train the trainer approach -This will mean that all staff are developed to embody effective organisational behaviour , culture and practice
- To address organisational culture, the council has launched its Crossing the Threshold culture change programme . -This will be followed through with a second phase Crossing the Threshold , covering the council's workforce. Financial training has been launched for all budget managers to ensure improve budget and financial practice, and a report will be presented to CMT on 31/8/22 to address managerial skills aiming to improve people management skills across the council
- We have adopted a co-creation approach to developing the People Strategy Action Plan , and the recruitment review. -The co-creation approach is supporting a change in culture, ensuring workforce alignment. We have had over 200 staff participate from frontline workers, to senior managers, trade union reps, and staff network reps, co-creating our 4 year action plan.
- Work is now underway for the implementation of the organisational culture change programme . - This was initiated through the appointment of external advisors and facilitators BBS in November 2021, with an initial meeting with the Chief Executive in early December and a facilitated session with CMT and the directors on 10 December 2021. There will be further facilitation sessions , including a train the trainers approach in the New Year, followed by the culture change programme being rolled out across the council via the trained trainers.

**Future Controls**

- Culture Change Plan being taken to Mayor's Advisory Board 17/07/23
- Health & Wellbeing action plan to to through a co-creation consultation

Review Date

31/12/2023

31/12/2023

- Introduction of 360 reviews for all managers commencing with Head of service and above and incrementally including all managers by April 2023 31/03/2023
- New simplified appraisal system to be evaluated. 31/12/2023
- We continue to utilise co-creation as a means of involving and engaging the workforce to enable effective culture change . 31/03/2026
- Work is being undertaken to establish a representative cross-section of staff at all levels and for all directorates of the Council to form a Design Group , which will continue to co-create with as part of our action plan, design and delivery. 31/03/2026



| Risk Scenario                     |   |   |  | Current |        |       | Future Risk Rating |        |       |
|-----------------------------------|---|---|--|---------|--------|-------|--------------------|--------|-------|
| Risk Ref                          | Risk  | Impact  | Assigned To  | Impact  | L'hood | Total | Impact             | L'hood | Total |
| CIC0010<br><br>Rhys-Lewis,<br>Huw | Risk of financial loss due to the poor performance of Brick By Brick including the Fairfield Halls refurbishment project and associated RIPI.<br><br>Requirement for unbudgeted capital works<br><br>Financial risks now identified | <ul style="list-style-type: none"> <li>• Council is liable for the outstanding debt.</li> <li>• Political and media scrutiny and interest.</li> <li>• Financial loss on sale of BxB assets.</li> <li>• Loss of interest on loan payments</li> </ul> | Rhys-Lewis,<br>Huw<br><br>Last Review:<br>14/08/2023<br>Last Amended :<br>14/08/2023<br>11:50:57 | 4       | 5      | 20    | 3                  | 3      | 9     |

**Existing Controls**

- Additional Management support to be considered for Brick by Brick during managed wind down of the company. -Additional third-party support for the build out of certain sites being engaged.
- Exchange on Kindred House scheme -
- Forensic Investigation report in respect of Fairfield Halls Report -Regular meetings with GLL established and agreement being reached on all outstanding work
- Losses on BBB anticipated and covered in council budget -
- Revised loan agreement to Brick by Brick (excluding Fairfield Halls) -

Loan agreement setting down rights and obligations of parties.

Separate bank account established for accrued interest on loans provided by Council

Regular Operational meetings between company & Council and Shareholder board

**Future Controls**

- Lion Green Road scheme under review

Review Date

31/03/2023

| Risk Scenario                     |   |  |  | Current |        |       | Future Risk Rating |        |       |
|-----------------------------------|---|--|--|---------|--------|-------|--------------------|--------|-------|
| Risk Ref                          | Risk  | Impact   | Assigned To  | Impact  | L'hood | Total | Impact             | L'hood | Total |
| CIC0029<br><br>Rhys-Lewis,<br>Huw | Reprocurement of contracts left until very late, close to or passed contract expiry | That extensions and waivers have to be used to extend contracts whils reprocurement takes place.<br><br>Likley to delay and hinder Council aboilty to mobve at pace to deliver traafdinformation changes and savings as set out in the exit report to the Improvement pannel.<br><br>Likley to impact on the timely delivery of outputs required and as set out in the Mayors plan | Rhys-Lewis,<br>Huw<br><br>Last Review:<br>14/08/2023<br>Last Amended :<br>14/08/2023<br>12:07:19 | 5       | 4      | 20    | 5                  | 4      | 20    |

**Existing Controls**

- Contracts Register -Issue of Contracts Register to enable operational teams to review when contracts are due

**Future Controls**

- Notices and Reminders Procurement team to issue notices and reminder of forth coming contract expiry taking a 3 month look ahead

Review Date

| Risk Scenario   |   |   | Current   |        |        | Future Risk Rating |        |        |       |
|-----------------|---|---|---|--------|--------|--------------------|--------|--------|-------|
| Risk Ref        | Risk  | Impact  | Assigned To   | Impact | L'hood | Total              | Impact | L'hood | Total |
| EDCIP0003       | Displaced People (Governance and Strategy)  | - Lack of access to housing, essential health and education services<br>- Increase in physical and mental health concerns<br>- Increased demand on local health, ASC and CSC services<br>- Increase in homelessness<br>- Increase in social tensions, impact on community cohesion<br>- Increase in people with NRPF and destitute if asylum applications refused | Crichlow, Kerry   | 4      | 5      | 20                 | 4      | 5      | 20    |
| Crichlow, Kerry | <p>The cross cutting nature of the impact and additional burden to the council in relation to asylum seeking and displaced people requires a whole council response, and governance oversight. The Streamlined Application Process (SAP) and Croydon's share of people placed in dispersed accommodation will place additional burden on services. Currently no formal way of identifying and tracking this cohort to be able to resource and plan. In addition hosting arrangements under the Homes for Ukraine Scheme are also coming to an end leaving Ukrainian refugees seeking accommodation. The impact of these changes will place further pressure on the Councils capacity to provide housing to vulnerable residents. There will also be pressure from the Government Afghan dispersal scheme which will lead to more homelessness pressures. The Home Office is now targeting Best Western Hotel and giving people leave to remain. The Council have no funding for this. There are over 500 households involved here.</p> <p>The council and the service may come under pressure and an increase in homelessness, extra pressure on temporary accommodation and ultimately the general fund. At present demand cannot be predicted and this risk needs to be regularly reviewed.</p> |   | <p>Last Review: 14/09/2023<br/>Last Amended : 05/10/2023 16:04:57</p> |        |        |                    |        |        |       |

#### Existing Controls

- Develop intuitive data snapshot to inform service development and partnership strategy -Develop intuitive data snapshot to inform service development and partnership strategy
- Understanding of the burden to the Council and Council partners -- establish common understanding of the data with regard to burden on services with council partners, health and education
- utilise the available grant funding to plan for pressures across the system,
- work with the partnership including VCS, education and Health to identify provision which will support integration locally with light touch support establish effective operational links with housing and NRPF services providing informed coordinated approaches

#### Future Controls

- Develop a cross borough approach to strengthen Croydon's ability to influence government policy with regard to Asylum Seekers . - engage and lobby through London Councils meetings e.g. CELC, ALDCS and the Strategic Migration Partnership to set out Croydon's case.
- convene cross borough meetings at senior officer level to build strong joint narratives .
- test the appetite to establish cross borough engagement with the Home Office and accommodation provider .
- Inter Department working Development of SLAs between services with agreed actions/pathways and identification of service spend that can be reclaimed
- Developed communications plan that informs eligibility to services and enables tracking of spend and funding available
- Develop the inter department working arrangements including specialist working arrangements
- Work across directorates to develop priorities for HfU and Asylum Seekers Grant spend to prevent homelessness - work closely with the homelessness team to align homelessness prevention grant spend for Ukrainian and Afghan refugees .
- secure dedicated and specialist capacity to provide housing options advice to all refugees who present for a service.
- maintain an accurate spend plan to allocate grant funding to mitigate homelessness where possible.

Review Date

22/11/2023

08/12/2023

27/10/2023

| Risk Scenario              |  |  | Current   |        |        | Future Risk Rating |        |        |       |
|----------------------------|--|--|---|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                   | Risk   | Impact   | Assigned To   | Impact | L'hood | Total              | Impact | L'hood | Total |
| EHSC0016<br>Madden, Roisin | Registered and Regulated providers refuse to accept placements of children where the Council is statutorily required to deliver either social care provision leading to the use of unregistered provision for children who need registered care homes either foster homes or children's homes. | Children under the age of 16 are placed in supported accommodation homes which are not regulated by Ofsted therefore there is no formal regulation of the standards of care, meaning that the Council becomes the regulator, leading to potential risk to children through poor quality care, Inspection risk as an indicator that the council's sufficiency strategy is not effective and reputational risk associated with challenge by the regulator. | Madden, Roisin<br><br>Last Review: 14/08/2023<br>Last Amended : 14/08/2023 14:31:43 | 4      | 5      | 20                 | 4      | 5      | 20    |

**Existing Controls**

- Comprehensive support to placement providers -Providing holistic support to foster carers and residential providers to support their care of traumatised children who can present as challenging in their behaviours as a result of the harm that they have suffered. This support will reduce the likelihood of a placement breakdown which creates the risk of reliance upon unregulated providers of care.
- Liason with Ofsted & close management oversight when these arrangements are made - To ensure the regulator is sighted on the need to use unregistered and unregulated provision for children Ofsted are notified when such arrangements are made, updates are provided regularly and these arrangements are reviewed at the Care Panel on a weekly basis.
- Robust Placement finding activity -Ensuring that the Placements Team build and maintain positive working relationships with care providers in and close to Croydon promoting the value of caring for Croydon children , building confidence in the relationship with Croydon Council.

**Future Controls**

- Development of Emergency Foster Care Provision Our In house fostering provision to create options for emergency foster placements to be maintained through financial support to hold vacancies in order to have a regulated home for children in exceptional circumstances. These homes would need 24 hr staff support to manage the level of risk, including as yet unassessed risk given the short notice need of children that arises.
- Development of Residential Children's Home A project is underway to open a Residential Children's Home specifically for children aged 12 and over where there are risks of extra familial harm.
- Introduction of Ofsted Regulation of provision currently categorised at Unregulated Ofsted Regulation commences from September 2023. This will provide external oversight for children over 16 however the risk of needing to use unregistered care for those under 16 given the national and local sufficiency challenges remains likely .
- Refreshed Sufficiency Strategy Renewed approach to providing sufficient provision of safe alternative homes for children in line with their needs when they are unable to remain safely with their family will provide greater access to registered care provision within Croydon and neighboring boroughs.

Review Date

01/08/2023

29/04/2024

29/09/2023

31/10/2023

| Risk Scenario                  |   |  | Current   |        |        | Future Risk Rating |        |        |       |
|--------------------------------|---|--|---|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                       | Risk  | Impact   | Assigned To   | Impact | L'hood | Total              | Impact | L'hood | Total |
| EHSC0017<br><br>Madden, Roisin | Gaps in Statutory Social Work Capacity - Family Assessment Service and Social Work with Families Service -The proportion of social workers holding unacceptably high caseloads remains a concern, most vacancies are covered by locum staff.<br><br>Risk generated 1/6/2021 | Caseloads above acceptable levels reducing the quality and timeliness of social work assessments and interventions; increased demand on statutory services through either repeat assessments or the need to intervene through a child in need or child protection plan. Rising costs as more complex interventions are required for children and increased demand on services. Impact on retention of social workers as staff reference workload as reasons for leaving Croydon. Ofsted evaluation of practice impacting on the reputation of the council, impacting on retention and recruitment. | Madden, Roisin<br><br>Last Review: 14/08/2023<br>Last Amended : 14/08/2023 14:58:28 | 4      | 5      | 20                 | 4      | 4      | 16    |

| Existing Controls  | Future Controls | Review Date |
|--|-----------------|-------------|
| <ul style="list-style-type: none"> <li>- Development of MASH Dashboard in Power BI -Enabling real time analysis of workflow in the Multi Agency Safeguarding Hub will support more effective application of resource to respond to requests for help from Children's Social Care, directing help from the partnership and thereby managing the demand on case- holding practitioners in the Family Assessment Service.</li> <li>- Procurement of an 'Outside London Pledge' team of agency workers -The procurement of a team of social workers, outside the Memorandum of Understanding as a last resort in light of the lack of agency staff available through the MOU London Pledge and standard Adecco framework. This has been enacted as of 1st August to provide additional capacity in Social Work with Families</li> <li>- Recruitment of additional locum staff to cover absences due to sickness -Spend Control panel agreement has been given on a case by case basis for additional staff both qualified social workers , family support workers and additional SW Managers to be brought in via the agency framework to address gaps caused by sickness absence.</li> <li>- Redesign of Services within Access, Support &amp; Intervention to manage demand more effectively to reduce rise in caseloads -Transformation work in Croydon's Front Door for Children's Services is underway to streamline responses to incoming referrals, provide greater focus on early help provision, utilising the MASH process more often to increase partner involvement in the assessment of risk.</li> </ul> <p>Re-design of the teams in MASH; Family Assessment Service; Family Solutions Service &amp; Young Croydon increase the level of management support to practitioners &amp; introduce Snr Practitioner roles to support retention of staff in case-holding roles.</p> | -               |             |

| Risk Scenario                      |  |  | Current  |        |        | Future Risk Rating |        |        |       |
|------------------------------------|--|--|--|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                           | Risk   | Impact   | Assigned To  | Impact | L'hood | Total              | Impact | L'hood | Total |
| FIR0062<br><br>Bannin,<br>Allister | Funding levels provided through the Government Grant for future financial years may be significantly lower than anticipated post the next general election resulting in considerable savings being required to balance the Council's Medium Term Financial Strategy. | <ul style="list-style-type: none"> <li>• Service disruptions or services ceased</li> <li>• Key manifesto / corporate objectives not achieved.</li> <li>• Resident dissatisfaction.</li> <li>• Media and political scrutiny.</li> <li>• Legal challenge and associated consequences.</li> <li>• Staff reductions / redundancies.</li> <li>• Unable to deliver a balanced budget.</li> <li>• Section 114 notices continue to be served.....</li> </ul> | Bannin, Allister<br><br>Last Review:<br>15/08/2023<br>Last Amended :<br>15/08/2023<br>18:17:29 | 5      | 4      | 20                 | 5      | 3      | 15    |

**Existing Controls**

- Continued focus / investigation into effective approaches to managing social care demand and the social care reforms -
- Continued lobbying with DLUHC for fair funding. -
- Continued maintenance of general fund reserve at current levels, -with an ambition to increase the minimum level of reserves to 5% of the net revenue budget to cover any major unforeseen expenditure.
- Continuing approach to organisational efficiency including smart commissioning & procurement strategies, and recruitment -controls. Targeted approach to early intervention and prevention strategies (children's and adult's social care) and exploitation of opportunities for working in collaboration with our partners.....
- Continuous monitoring / scrutiny of all budgets and commitments. -
- Detailed MTFS planning throughout the year -
- Fair Funding Review, Business Rates Reset, Adult Social Care Reform and other changes to local government finance system delayed -Policy paper for 2024/25 already issued giving reassurance of government funding for that year but there is a subsequent cliff-edge into 2025/26.

**Future Controls**

- Strategic approach applied to identify efficiencies and savings and project managed approach to delivery Through changes to the way the Council works e .g. One Council approach with cross-Directorate working, the Transformation Programme, exploiting new technology, consolidation of buildings and processes.

Review Date

01/05/2023

| Risk Scenario                      |   |  | Current  |        |        | Future Risk Rating |        |        |       |
|------------------------------------|---|--|--|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                           | Risk  | Impact   | Assigned To  | Impact | L'hood | Total              | Impact | L'hood | Total |
| FIR0063<br><br>Bannin,<br>Allister | General increasing demand for council services driven by several factors including declining health in the borough, fuel poverty, cost of living pressures and rising interest rates increasing the financial demand on the council for services. | Service, financial, reputational, legal and people dimensions to the risk. | Bannin, Allister<br><br>Last Review:<br>15/08/2023<br>Last Amended :<br>15/08/2023<br>18:17:39 | 5      | 4      | 20                 | 4      | 4      | 16    |

**Existing Controls**

- Additional discretionary hardship support fund for Council Tax introduced -
- Council Tax Support Scheme under continual review -
- Current control measures support to community -• Council tax support scheme supports low-income households, freedom pass provision and free school meals
  - Council tax hardship fund (£2m) was set up to support residents with the extra 10% Council Tax rise.
  - Discretionary Housing Payments to contribute to shortfalls in rent.
  - Croydon Healthy Home service gives energy advice and supports fuel poor and vulnerable households to obtain funding for energy efficiency improvements .
  - Commissioning of advice services to provide welfare rights advice.
  - Downloadable directory for local support around Welfare Rights or debt advice
  - Croydon Works jobs brokerage service for residents and local employers .
  - Croydon Adult Learning and Training, and work through Skills and Employment Forum with college and universities, private sector provider and users to support the employability of residents.
  - Signposting residents to support with emergency provisions around food and utility top-ups.

**Future Controls**

-

Review Date

| Risk Scenario          |   |  | Current   |        |        | Future Risk Rating |        |        |       |
|------------------------|---|--|---|--------|--------|--------------------|--------|--------|-------|
| Risk Ref               | Risk  | Impact   | Assigned To   | Impact | L'hood | Total              | Impact | L'hood | Total |
| HO0007<br>Sen, Susmita | Organisational instability, responsive repairs contractual changes and delays to the creation of Planned Maintenance interface between NEC and Oracle Finance impacts the implementation of the new integrated Housing IT system (NEC) such that it fails to deliver all the intended benefits. Current status is still significant issues and risks outstanding to be resolved which could impact funding. | <ul style="list-style-type: none"> <li>• Have to retain legacy systems for longer, costing more and breaching tender regulations</li> <li>• Cost of programme increases to support project resources for a longer period of time</li> <li>• Takes longer to onboard the required resources to deliver the project due to extended internal checks and balances on spending confirmed budget</li> <li>• Housing MTFs savings not able to be met until new system is live and sufficiently adopted</li> <li>• Reduction in staff morale due to change fatigue and financial pressures</li> <li>• Scope creep &amp; weakened governance and decision-making due to changing Senior Management expectations and buy-in caused through extended use of interims over the life of the project</li> <li>• Planned maintenance interface delay requires manual intervention that takes up additional officer resource and delays payments to contractors</li> <li>• Complaints arising from residents' inability to request balances and statements online</li> <li>• AUDDIS file sent late so Direct Debit acceptance delayed for new payees</li> </ul> | Sen, Susmita<br><br>Last Review: 21/09/2023<br>Last Amended : 29/09/2023 13:47:29 | 5      | 4      | 20                 | 4      | 3      | 12    |

**Existing Controls**

- Ensure project governance arrangements (especially core meetings) are reviewed -/004 - ongoing
- Focused engagement for each change in interim officer at Head of Service , Director, and Corporate Director level -
- Maintain active RAID log -/002 – ongoing

| Future Controls  | Review Date |
|--|-------------|
| - Agree long term solution with banks. This is the protocol to deliver Direct Debit transactions and exchange AUDDIS files to set up new Direct Debit agreements .             | 31/10/2023  |
| - Explicitly highlight and socialise expected end state for each service area /005 – Existing > implementing outcome of review   | 31/05/2023  |
| 05 - review complete, improved service engagement on project - ongoing Target - 31/5/23  |             |
| - Institute processes and protocols for managing payments to planned maintenance contractors   | 31/10/2023  |
| - Rent balance information has been corrected for rent and service charge accounts. Resident portal due to go live w/c 9/10/23 which will present residents online information | 31/10/2023  |
| - Responsive Repairs plan baselined for all workstreams 07 - still a concern - mitigation work and planning ongoing Target 30/4/23   | 30/04/2023  |



| Risk Scenario          |   |  |   | Current |        |       | Future Risk Rating |        |       |
|------------------------|---|--|---|---------|--------|-------|--------------------|--------|-------|
| Risk Ref               | Risk  | Impact   | Assigned To   | Impact  | L'hood | Total | Impact             | L'hood | Total |
| HO0012<br>Sen, Susmita | Fail to Manage risks associated with LPS/HRB Portfolio - excluding Regina Road. | -Regulatory implications<br>-Reputational implications<br>-Financial implications<br>-Resident dissatisfaction | O'Rourke, Niall<br><br>Last Review:<br><br>Last Amended :<br>21/09/2023<br>11:17:42 | 5       | 4      | 20    | 4                  | 3      | 12    |

**Existing Controls**

- Structural appraisal -An iterative approach to structural investigation has been provided by ARUP which is being followed . The first stage visual inspections to be completed by the end of July. LB Croydon to attempt to locate the as designed drawings for the 4 LPS blocks that were developed by Wates prior to Arup becoming involved in later design types and phases of development . There is an increased importance in developing the safety case for these blocks as there needs to be assessment of hazards, risks nd mitigations across structural and fire. The other risks are captured in the Building Safety Act Risk on HRBS' which is more general.

**Future Controls**

Review Date

-

| Risk Scenario               |  |  | Current  |        |        | Future Risk Rating |        |        |       |
|-----------------------------|--|--|--|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                    | Risk   | Impact   | Assigned To  | Impact | L'hood | Total              | Impact | L'hood | Total |
| HSI0035<br><br>Sen, Susmita | Fail to successfully mobilize the Gas Safe Contractor in August 2023 | <ul style="list-style-type: none"> <li>-Safety risk to safety of occupants of Homes and other facilities, if annual gas safety checks, serving and responsive repairs service fall below the required standards.</li> <li>-Regulatory risk if landlords gas safety checks fall below required standards.</li> <li>-Reputation damage if Authority does not provide a compliant LGSR programme and a good responsive repairs service.</li> <li>-Customer sentiment and satisfaction decrease, due to poor annual safety, serving and responsive repairs associated with the new service.</li> <li>-Risk that the new contractor will identify unforeseen investment needs into domestic and commercial heating plant.</li> <li>- Do not achieve value for money, if the new service does not meet the required standards then potentially require a re-procurement of the service resulting in additional expenditure and impact on resources.</li> </ul> | O'Rourke, Niall<br><br>Last Review: 14/08/2023<br>Last Amended : 30/08/2023 10:19:20 | 5      | 4      | 20                 | 5      | 2      | 10    |

#### Existing Controls

- Create and test KPI Reporting as per contract and KPI Reporting for RSH Consumer Standards -Liaise with Duncan and team to ensure that the KPI's have been prepared and are reporting accurately. Share the RSH KPI's required for Regulatory reporting.
- Develop and deliver annual servicing programme to non gas domestic heating and hot water systems -The existing arrangement does not include for the annual servicing of non gas domestic heating systems. It is good practice to have annual servicing programmes to ensure that systems are serviced and operate effectively and efficiently . While the development of the programme has commenced during the mobilisation period more attention will be required after we ensure the annual gas safety programme is well managed and no longer a risk, due to the safety and regulatory risks associated with homes with gas.
- Ensure annual gas safety checks are completed in time and mitigate potential increase in overdue. -The annual gas safety programme has been shared with the incoming contractor. The outgoing contractor is also attempting to complete LGSR that fall due before contract end. The incumbent has historically struggled with maintaining the annual gas safety programme up to date, however performance has improved over the last year or so. Over June and July there have been an increase in the number of overdue, however anticipated that these may start to reduce in July/August. However the annual gas safety checks are loaded in the Summer and Autumn months, resulting in multiple events occurring in a short period that could result in a deterioration in LGSR performance i.e.. change to NEC, mobilization of new gas contractor, seasonal peak in number of LGSR's required. These challenges are being managed in the regular meetings taking place.
- Ensure Commercial Heating Plant is well maintained and all Heat Metering Regs are complied with -The incoming gas contractor is to inspect all commercial boiler plant and review the information shared by LB Croydon, including information related to historic component replacements and concerns over lack of space heating temperature controls and heat metering. The proposal is to procure M&E consultancy services to support the Authority in ensuring that investment decisions are proportionate and avoid outages for customers over the first year of the contract. It is believed that some further investment is required on the Heat Metering Regulations and this is to be investigated further.
- Establish Contract Meetings Schedule -Schedule more formal contract meetings to deal with post mobilisation matters and BAU contract management.
- Improve Resident Communication and reduce reliance on escalation / forced entry -The current service appears to rely on a high rate of escalation and forced entry, greater than experienced in other LA's as far as key people in the mobilisation are aware. Reliance on upper tier escalations and forced entries are resource heavy and can lead to deteriorating customer sentiment and satisfaction. There is a lack of visibility on how the incumbent managed the Letter 1 and 2 process. All escalation letters have been reviewed and amended with input from Housing Service colleagues. The key changes are to improve clarity on the safety, servicing and potential energy saving for customers and improved appointment access with use of QR codes on Letters 1 & 2. Also took the opportunity to remove text relating to special measures during the Covid pandemic that were still in current letters. There will be a need to develop other improvements in residents communication, including for those with domestic heating that is not gas, which is a new workstream in terms of annual servicing and also with residents benefiting from commercial heating arrangements, specifically about annual dates when communal heating turned on and off
- LGSR Recovery Plan -Due to agreements with the previous provider LGSR escalation letters were not sent out for homes with gas falling due in Aug and September . We have developed a 'Recovery Plan' to address these. However there is circa 3,003 homes falling overdue in these 2 months, so the task is large and therefore challenging. The was agreed first week in August and is expected to peak in late August before recovering back to normal levels come mid October. We are monitoring performance on a weekly basis .
- Staff absence during mobilisation and early stages of new service -Recent change in the head of building safety and compliance. In addition the gas safety manager is on sick leave from mid June to mid July. This has somewhat hampered understanding of some of the detail in the current contract, management and issues. However believed we have sight of majority of issues and are discussing these with the incoming contractor. If the period of sickness is extended or re-occurs for an extended period in the coming few months then this will add to the challenge.

**Future Controls**

**Review Date**

-

| Risk Scenario                |   |  | Current  |        |        | Future Risk Rating |        |        |       |
|------------------------------|---|--|--|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                     | Risk  | Impact   | Assigned To  | Impact | L'hood | Total              | Impact | L'hood | Total |
| PP0025<br>Courcoux,<br>David | Following the repeal of legislation regarding fixed term parliaments, a General Election could be called in as little as 35 days. Without having a definitive date for an election before then, it is difficult to plan for an election and in particular secure the necessary venues (e.g. polling stations, count venue). | Late changes to polling stations may cause confusion for voters.<br>A lack of available count venue could delay the count and declaration of results.... | Courcoux,<br>David<br><br>Last Review:<br>30/08/2023<br>Last Amended :<br>30/08/2023<br>17:46:21 | 5      | 4      | 20                 | 4      | 4      | 16    |

**Existing Controls**

- Additional professional support sourced -
- Establishment of Returning Officer Group and Elections Operations Group for delivery of May 2024 elections and any snap General -
- Online polling station staff training package booked with the Association of Electoral Administrators for a snap GE (Aug 23) -
- Plans for snap General Election to be incorporated into Election staff recruitment and training strategies -
- Polling station and count staff -We maintain a database of potential staff that can be appointed to manage polling stations and support the count .
- Polling Stations -Polling stations have been identified and designated through Council. Review of venues is underway. Delegated authority is in place to ensure alternative polling stations can be secured at short notice where required..
- Print supply contract -The Council has a multi-year contract in place with professional printers that maintain plans for delivering elections materials at short notice.
- Production of Work-plan and Risk Register for delivery of May 2024 elections and any snap General Election -
- Production of Work-plan and Risk Register for delivery of May 2024 elections to be adapted for snap General Election -
- Various potential count venues have now been identified -

**Future Controls**

- Adapt work-plan and risk register as necessary if snap General Election is called
- Amendments to some polling district boundaries Amendments to some polling district boundaries because of electorate size , and polling places because of unavailability to be agreed by General Purposes Committee and take effect 1 December 2023.
- Briefing of Presiding Officers on new Voter ID requirements and confirm their continuing availability for future elections
- Contingency plan for the use of Council buildings as count venues Contingency plan for the use of Council buildings ( Town Hall and BWH) for use as a count venue if other venues unavailable. (Target date 1 November 2023)
- Review of Polling Districts and Polling places Full review to take place in 2024.

**Review Date**

31/08/2023  
01/12/2023  
15/09/2023  
01/11/2023

| Risk Scenario    |   |  |   | Current |        |       | Future Risk Rating |        |       |
|------------------|---|--|---|---------|--------|-------|--------------------|--------|-------|
| Risk Ref         | Risk  | Impact   | Assigned To   | Impact  | L'hood | Total | Impact             | L'hood | Total |
| PR0043           | Future waste collection and street cleansing contract costs   | Financial - insufficient budget to cover the cost of service including both Capital and revenue. | Agbakiaka, Karen  | 4       | 5      | 20    | 4                  | 4      | 16    |
| Agbakiaka, Karen | Final tenders received for the new waste collection and street cleansing service are in excess of the profiled budgeted allocation for 2025 and beyond. | Reputational - Reduced service offer does not deliver required quality standards.                | Last Review: 30/08/2023<br>Last Amended : 18/09/2023 16:25:37 |         |        |       |                    |        |       |

**Existing Controls**

- Develop a MTFS growth form -- Growth Bid developed and built in the 23/24 & 24/25 budgets of £3m for new service provision.
- Procurement route to market agreed through competitive dialogue providing early indication of indicative pricing ahead of final submission allowing for - specification to be adjusted to accommodate any agreed financial envelope.
- Soft market exercise -to feed into the MTFS growth bid the service in conjunction with SLWP undertook a soft marketing exercise with prospective bidders to develop re -procurement strategy and market appetite to risk sharing

**Future Controls**

- re-procurement and evaluation methodology - High weighting on financial assessment at 60%.
- two stage competitive dialogue process in place

Review Date  
15/08/2023

| Risk Scenario         |   |   | Current   |        |        | Future Risk Rating |        |        |       |
|-----------------------|---|---|---|--------|--------|--------------------|--------|--------|-------|
| Risk Ref              | Risk  | Impact  | Assigned To   | Impact | L'hood | Total              | Impact | L'hood | Total |
| RCS0039<br>West, Jane | Delays in the external audits of the 2019/20, 2020/21, 2021/22 and now 2022/23 accounts could be masking errors in the accounts and therefore the current financial position of the Council is not certain. Work has recently completed in relation to the accounting treatment of Croydon Affordable Homes and Croydon Affordable Tenures, corrections to HRA recharges from the General Fund and a necessary increase in the Provision for Bad Debt in relation to the 2019/20 accounts. The updated 2019/20 accounts are on the Council's website and have been shared with the Audit and Governance Committee and the external auditors, Grant Thornton. It is anticipated that any financial implications for the General Fund, Housing Revenue Account and capital funding can be contained within the recent legacy Capitalisation Direction of £161.6m granted by the Department for Levelling Up, Housing and Communities. The negative Direct Schools Grant reserve should be eliminated by additional grant from the Department for Education and Skills through the recently completed Safety Valve process. The grant will be phased in as the Special Educational Needs agreed Safety Valve plan is delivered. A related risk is that the government's response to national delays in external audit work curtails the opportunity to fully complete the external audit work required by imposing a backstop date beyond which no further audit work can be executed. | <ul style="list-style-type: none"> <li>• Potentially qualified accounts provided in respect of 2019/20, 2020/21 or 2021/22</li> <li>• Loss of control of financial position</li> <li>• Political scrutiny applied at local and national level.</li> <li>• Media interest and scrutiny at local and national level.</li> <li>• Continuing financial loss.</li> <li>• Reputational damage.</li> <li>• Potential investigation of historic financial practices.</li> <li>• Impact on reserves</li> </ul> | West, Jane<br><br>Last Review: 07/08/2023<br>Last Amended : 07/08/2023 12:21:43 | 4      | 5      | 20                 | 3      | 4      | 12    |

**Existing Controls**

- Regular meetings with Grant Thornton and corporate finance team to monitor progress of audit - Timetable for updating and publishing the Council's outstanding accounts has been set  
Timetable for external audit work by Grant Thornton has been agreed  
2019/20 and 2020/21 external audit work by Grant Thornton is currently underway

**Future Controls**

- Monitor the government's response to the national delays in external audit and lobby to allow completion of Croydon's audit

Review Date  
31/03/2025

| Risk Scenario            |  |  | Current  |        |        | Future Risk Rating |        |        |       |
|--------------------------|--|--|--|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                 | Risk   | Impact   | Assigned To  | Impact | L'hood | Total              | Impact | L'hood | Total |
| TRA0003<br>Sharon Godman | The Transformation Programme is not sufficiently ambitious enough , with insufficient change and savings | The Council's aspiration to manage its finances and transform the organisation may not be realised<br>The Council continues to be subject to intervention for a longer period<br>The Council could be subject to a further level of government intervention<br>The Council is unable to restore its reputation and trust of the residents of Croydon | Sharon Godman<br><br>Last Review: 14/08/2023<br>Last Amended : 29/09/2023 13:53:36 | 5      | 4      | 20                 | 5      | 4      | 20    |

**Existing Controls**

- Review of the programme -Programme review to rationalise and consolidate the programme. Conclusion to propose a revised approach.

**Future Controls**

- Development of a pipeline of additional substantial programmes/projects Existing programme largely focused on delivering 23-24 savings in the budget. Programme needs to have a more substantial multi-year outlook  
- Finance and Delivery Tracking via project assurance Key financials and delivery outcome and timeline tracking introduced with output reflected in programme reporting

Review Date

30/11/2023

31/10/2023

| Risk Scenario                   |   |  | Current  |        |        | Future Risk Rating |        |        |       |
|---------------------------------|---|--|--|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                        | Risk  | Impact   | Assigned To  | Impact | L'hood | Total              | Impact | L'hood | Total |
| TRA0004<br><br>Sharon<br>Godman | Service capacity to deliver transformation projects may be limited by BAU activities and unexpected issues/emergencies may arise drawing capacity away from Transformation Projects | Delivery of transformation outcomes may be delayed<br>Financial benefits may not be achieved in the timeframe assumed in the Medium Term Financial Plan creating additional financial pressures on the Council<br>The impact may be wider if there are other projects relying on the delivery of the directly impacted project | Sharon<br>Godman<br><br>Last Review:<br>14/08/2023<br>Last Amended :<br>29/09/2023<br>13:53:36 | 4      | 5      | 20                 | 3      | 3      | 9     |

**Existing Controls**

- Additional transformation resources to be brought in as required -
- Ensure Transformation Programme budget is available to respond to urgent resource requests to keep projects moving -

**Future Controls**

- Programme assurance process introduced

Review Date  
31/10/2023



| Risk Scenario                        |  |  | Current   |        |        | Future Risk Rating |        |        |       |
|--------------------------------------|--|--|---|--------|--------|--------------------|--------|--------|-------|
| Risk Ref                             | Risk   | Impact   | Assigned To   | Impact | L'hood | Total              | Impact | L'hood | Total |
| VRN0055<br><br>Aspinall,<br>Kristian | <p>Croydon Council's Leisure Contract &amp; Partnership with GLL</p> <p>GLL currently manage New Addington, Monks Hill, Waddon, South Norwood, Thornton Heath, Ashburton Hall, Purley, Croydon Sports Arena and 32 tennis courts on behalf of the council.</p> <p>Due to rise in energy costs, GLL's utility expenses have risen to such an extent that they have expressed their concerns regarding the viability of continuing to run our leisure facilities.</p> <p>The overriding risk is that GLL are unable to fulfil their commitment and cease to manage the leisure facilities before our contract is due to expire.</p> <p>LBC currently does not have the staffing capacity or know-how to manage the major leisure facilities on a practical or operational level.</p> | <p>Closing the leisure centres would significantly impact the well-being and health of the borough's residents, particularly those vulnerable groups who use our facilities. This would have a downstream effect on our health and social care services as residents would not be able to access preventative leisure and exercise.</p> <p>Equally, the council would have to take on the running of the sites, and it does not have the inhouse skills. This would create a significant financial loss to the council more than several million pounds annually, as well as potential TUPE situations for staff. It would also mean to loss of the planned income for the service that starts in 2023.</p> <p>Any closures would have considerable negative publicity locally and nationally.</p> | <p>Aspinall,<br/>Kristian</p> <p>Last Review:<br/>12/09/2023<br/>Last Amended :<br/>12/09/2023<br/>11:41:53</p> | 5      | 4      | 20                 | 5      | 2      | 10    |

**Existing Controls**

- Communication with other London Boroughs -to understand what practices they have employed to reduce their energy costs and what support they may have provided their leisure providers. Whilst the contractual agreement that LBC has with GLL will not be the same as their agreements with other borough's it is likely that some elements of how other local authorities are managing the issue can be shared and used in LBC
- Financial subsidy of £400k provided based on analysis of energy bill rises -
- Utility cost saving measures are in place at all the leisure facilities. -This includes covers for the swimming pools which are the single largest utility expense.
- Winter programme run during winter 22/23 to reduce costs, and to be considered for 23/24 -

**Future Controls**

- Continued discussions with industry bodies too lobby central government for support and help including inclusion of leisure centres in government high usage energy bill schemes
- Growth Bid For contract manager to support the contract management (no current resource to do this).

Review Date

| Risk Scenario                        |   |   |   | Current |        |       | Future Risk Rating |        |       |
|--------------------------------------|---|---|---|---------|--------|-------|--------------------|--------|-------|
| Risk Ref                             | Risk  | Impact  | Assigned To   | Impact  | L'hood | Total | Impact             | L'hood | Total |
| VRN0057<br><br>Aspinall,<br>Kristian | The Council fails to plan for / provide a Designated Disaster Mortuary on behalf of the Senior Coroner. | Failure to meet statutory duties<br>Failure to manage emergency incident<br>Reputational impact<br>Emotional distress to communities and families | Aspinall,<br>Kristian<br><br>Last Review:<br>12/09/2023<br>Last Amended :<br>12/09/2023<br>11:42:24 | 5       | 4      | 20    | 5                  | 4      | 20    |

**Existing Controls**

- Regular engagement with Senior Coroner -
- scoping DDM arrangements with other boroughs who have established DDMs to identify good practice and adopt in Croydon -

**Future Controls**

- Recommendation report to CMT in August 2023
- Task and finish group to be established urgently to review work done to date on commissioning this service

Review Date  
28/08/2023  
02/10/2023

| Risk Ref                             | Risk Scenario  |  | Assigned To   | Current |        |       | Future Risk Rating |        |       |
|--------------------------------------|--|--|---|---------|--------|-------|--------------------|--------|-------|
|                                      | Risk   | Impact   |   | Impact  | L'hood | Total | Impact             | L'hood | Total |
| VRN0060<br><br>Aspinall,<br>Kristian | The Council is unable to adequately respond to civil emergencies / incidents as per their duties within the Civil Contingencies Act 2004<br><br>(Risk generated 27/05/2020). | <ul style="list-style-type: none"> <li>Residents without support for their needs and left in dangerous situations.</li> <li>Further damage or trauma to people, economy or environment, including death.</li> <li>Reputational damage.</li> <li>Breach of statutory duty.</li> <li>Financial loss; liability claims.</li> <li>Litigation/ public inquiry.</li> <li>Media and Political interest and scrutiny.</li> </ul> | Aspinall,<br>Kristian<br><br>Last Review:<br>12/09/2023<br>Last Amended :<br>12/09/2023<br>11:40:58 | 5       | 4      | 20    | 5                  | 3      | 15    |

**Existing Controls**

- Business Continuity Strategy review (Spring 2022) -
- Business Continuity Workshops with services (2023) -
- Corporate Emergency Response Plan to detail response structures and governance - reviewed in 2023 with updated guidance -
- Emergency Response Officer recruitment and training drive (2023) -
- Emergency response plan suite, including suite themed response plans such as flooding, pandemic, animal disease, -emergency centres
- Ensure consistent and frequent awareness by the raising of risk to CMT & Directors -
- Lessons learned processes undertaken after major incidents -
- London Mutual Aid protocol, incl. British Red Cross support. -
- London Resilience Networks -
- On-call staffing: -- Council Gold
- Council Silver
- Resilience Advisor
- LA Liaison Officer
- Emergency Centre Manager
- Ongoing delivery of a staff training programme in an emergency response -role to increase the number of staff that are aware and able to respond .
- Physical & virtual Borough Emergency Control Centre (BECC) capability. -
- Supportive & effective Croydon Resilience Forum/ Local Strategic Partnership relationships. -
- Team business continuity plans reviewed in Spring/Summer 2022 -

**Future Controls**

- "Rapid review" of systems and processes coming to CMT in July 2023 highlighting areas of weakness and proposed changes
- Growth bid for increased capacity in the EP team and increased security of out of hours arrangements

Review Date

02/10/2023

02/10/2023