

## Appendix 1: Risk Register Red Risks April 2023

Risk Ref	Risk Scenario		Assigned To	Current			Future Risk Rating		
	Risk	Impact		Impact	L'hood	Total	Impact	L'hood	Total
CIC0005  Rhys-Lewis, Huw	<p>The investment strategy and income generating properties do not deliver the required financial benefits / targets.</p> <p><b>**Main Risks Colonnades (potential £700k), Davis House (£200k), BWH (Home Office £750k) remainder portfolio (£100k). Issue compounded by the inability of landlords to take swift action through the courts to pursue non-payment remedies**.</b></p> <p>Colonnades, Davis House and wider portfolio currently holding performance, BWH actively marketed and two tenants secured, smaller letting generating interest with 1 demise u/o (£80k pa income) - wider MTFs up to date with current position.</p> <p>(Risk generated 30/10/20)</p>	<ul style="list-style-type: none"> <li>Financial loss due to under-performance of assets through non-payment of rents due to failure of tenants, reduced rents or deferrals. Impact of new community strategy</li> <li>Service area funding / continuity of delivery could be impacted as a result of lower revenue income to support.</li> <li>Reputational damage due to failure of high profile assets.</li> <li>Political and media scrutiny.</li> <li>Macro economic conditions significantly impact on investment properties and the general rental income across the wider portfolio leading to reduced revenue generation.</li> </ul>	Rhys-Lewis, Huw  Last Review: 23/02/2023 Last Amended : 15/03/2023 08:31:11	5	5	25	4	5	20

## Existing Controls

- Clear and agreed (Scrutiny & Cabinet) strategy in place. -Strategy incorporates CIPFA recommendations .
- Colonnades, Vulcan Way, Imperial Way and Davis House are all on disposals schedule -but have achieved rental increases
- Croydon Park Hotel disposed -
- New ways to utilise properties to secure longer term security being investigated eg Croydon Campus Project -
- Revised Corporate Asset Strategy in place to help focus resources in the most appropriate way . -The effectiveness of this strategy is dependent on result of Capitalisation Directive award from MHCLG .
- Spending strategy stopped with immediate effect for any more investment purchases . -
- The Asset investment strategy is included within the Asset Management Plan -ensuring proper governance which will include regular quarterly reporting to effectively monitor any impacts .

## Future Controls

- Looking to profile to a lower risk profile through disposal

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
CIC0008  Rhys-Lewis, 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.  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, Huw  Last Review: 23/02/2023 Last Amended : 15/03/2023 08:31:11	5	5	25	5	4	20

**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 Ref	Risk Scenario		Assigned To	Current			Future Risk Rating		
	Risk	Impact		Impact	L'hood	Total	Impact	L'hood	Total
CIC0010  Rhys-Lewis, Huw	<p>Risk of financial loss and reputational damage due to the poor performance of Brick By Brick including the Fairfield Halls refurbishment project and associated RIPI.</p> <p>Requirement for unbudgeted capitol works</p> <p>Reported to CMT/Leader w/c 15/11/2021</p> <p>(Risk generated 19/05/2021).</p>	<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>	<p>Rhys-Lewis, Huw</p> <p>Last Review: 23/02/2023</p> <p>Last Amended : 15/03/2023 08:31:11</p>	5	5	25	5	4	20

**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 -
- 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**

- Forensic Investigation report in respect of Fairfield Halls Report Regular meetings with GLL established and agreement being reached on all outstanding work
- Lion Green Road scheme under review

Review Date

25/04/2023

31/03/2023

Risk Scenario				Current			Future Risk Rating		
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
CIC0012  Rhys-Lewis, Huw	Contract Management and Supply Chain risk, including inflationary pressures, facing council. Implications for revenue and capital programme.  (Risk generated 18/05/2021).	<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> </ul>	Rhys-Lewis, Huw  Last Review: 20/03/2023 Last Amended : 20/03/2023 10:12:46	5	5	25	5	5	25

**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**

-

Review Date

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
HSI0023	<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>(Risk generated 13/05/2021).</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>	Tate, Stephen	5	5	25	3	4	12
Tate, Stephen			<p>Last Review: 27/02/2023</p> <p>Last Amended : 27/02/2023 15:06:22</p>						

**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

31/03/2023

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
PH0007 Flowers,Rachel	<p>The indirect impact of a global pandemic the cost of living crisis plus the ongoing war in Ukraine widen health inequalities in both physical and mental ill health and increase demand on all Council services.</p> <p>** e.g. overcrowded/poor housing , more people presenting as homeless- those in deprived areas more likely to have underlying conditions; insecure employment leading to great financial insecurity**.</p> <p>(Risk generated 24/03/2020).</p>	<ul style="list-style-type: none"> <li>• Increased mortality and morbidity in more vulnerable groups.</li> <li>• Adult Social Care pressure.</li> <li>• Housing demand.</li> <li>• Political and media interest.....</li> </ul>	<p>Flowers,Rachel</p> <p>Last Review: 06/02/2023 Last Amended : 06/02/2023 09:38:05</p>	5	5	25	5	5	25

<p><b>Existing Controls</b></p> <ul style="list-style-type: none"> <li>- COVID-19 and flu messaging detailed in the NHS Health Check invitation communication -</li> <li>- Epidemiology data provided by, OHD SWL NHS, UKHSA reviewed by the DPH and her team -There are a range of control measure for this risk not all within public health remits, or indeed, within Croydon council's remit. a key part of the role of public health in control measures is to identify where the inequalities are increasing, both in terms of age profile, geographic location, specific communities. There is also a role of identifying where some groups are disproportionately impacted by inequalities or their inequalities are increasing. Much of the data can be found in the JSMA/Croydon observatory</li> <li>The mitigation/control measures are around education, housing quality, employment opportunities, access to services, including health services.</li> <li>There is also a regional and national dynamic to the control measures linked to policy ,funding- of the whole local system, both Local Authority and NHS and and grant opportunity</li> <li>- Good engagement across borough with Health Protection Board that provides oversight -Although the Covid 19 Health protection board has been stood down there is still a borough Health protection board where covid is reviewed</li> <li>- The Outbreak Control Plan can be stood up if and when required - At the moment we are in low incidence of covid however this can be used to escalate the response. Note that we still believe that it is variation ( mutation) that drives incidence not seasonality i.e. it is not a " winter" infection yet</li> </ul>	Review Date
<p><b>Future Controls</b></p> <ul style="list-style-type: none"> <li>- No further/future controls identified</li> </ul>	

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
PR0013	Sustainable Parking Services Income	• inability to balance the budget due to Income loss through pay and display and penalty charge notices	Iles, Steve	5	5	25	4	3	12
Iles, Steve	Reduction in income that is generated through charges applied to appropriate parking spaces across the borough. Reduction in PCN income via civil enforcement officers and or ANPR camera enforcement.  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 through Low Traffic Neighbourhoods has not been delivered to plan due to a number of factors.  (Risk generated 17/05/2017)		Last Review: 31/01/2023 Last Amended : 31/01/2023 15:39:02						

<p><b>Existing Controls</b></p> <ul style="list-style-type: none"> <li>- Detailed analysis of the approach financial management -The overall financial management and strategic oversight of the income for the service has been undertaken and controls are in place to monitor all income streams on a monthly basis.</li> <li>The development of a financial dashboard to form part of the monthly monitoring process.</li> <li>The reconciliation of income coming into the councils financial system and parking back office system</li> <li>Dedicated corporate financial support to work with the service to ensure systematic financial management is in place.</li> <li>Working with London Councils &amp; Peers across London on the parking policy and approaches to pay and display charging</li> <li>- Developed a MTFS growth form -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.</li> <li>- Development of 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)</li> </ul>	
<p><b>Future Controls</b></p> <ul style="list-style-type: none"> <li>- 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&amp;D and Permits.</li> <li>Transformation bid completed and submitted for the funding to undertake the above policy review , governance and board being established.</li> <li>Review date: - February 2023</li> </ul>	<p>Review Date 28/02/2023</p>

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
PST0001  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  Covid 19 and general economic uncertainty has created a climate of development uncertainty. The redevelopment was removed from the Unibail development pipeline in Feb 20 and there is no date for the redevelopment. The Croydon Limited Partnership (CLP) partners are both suffering from loss of income and are refocusing their business models and agree new approach to the Whitgift during a time of uncertainty and restricted finances. The Whitgift CPO has now expired....  (Risk generated 18/05/2015).	<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  Last Review: 16/02/2023 Last Amended : 16/02/2023 09:05:01	5	5	25	4	5	20

#### Existing Controls

- Clause 11 meetings -Clause 11 meetings to be held for a maximum period of 12 months as set out in the ILTA, this is a formal stage to work through options on non delivery of the scheme. The meetings complete Feb 2022. The outcome of these meetings is that a series of remedies to offset non-delivery of the scheme envisaged by the ILTA have been exchanged with CLP .
- Communication channels between politicians and officers with CLP remain open and productive . -
- LBC to continue to press CLP 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 CLP to account on their plans and to manage the CPO expiry process . -
- Regular communication with the Whitgift Foundation -The Foundation is the freeholder of the majority of the site.
- Regular meetings with CLP to maintain dialogue between partners . -
- 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 ending of the exemption for CLP to pay Business Rates on unoccupied buildings due to the CPO -
- The final land transfers under the now expired CPO from the Council to CLP are to be completed in the coming weeks -
- 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.
- The re-establishment of the Advisory Town Centre Board -to seek to collaborate and in partnership with stakeholders to support the regeneration of the town centre

#### Future Controls

- Agree with CLP 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.
- 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.
- The Council seeks to introduce a new development partner, once the ILTA expires (February 2026). ...
- 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

Review Date

21/04/2023

21/04/2023

21/04/2023

21/04/2023

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
RCS0039 West, Jane	The audit of the 2019/20 and 2020/21 accounts could require significant adjustments, as highlighted in External Audit's management letter/report to GPAC 20 October 2021, to provide a balance and not be qualified. In relation to the 19/20 and 20/21 accounts further significant work is required in relation to the accounting treatment of Croydon Affordable Homes and Croydon Affordable Tenures with any financial implications for both the General Fund and Housing Revenue Account and capital funding to be dealt with after this review. Other areas being reviewed are capital charges and the negative Direct Schools Grant reserve.  (Risk generated 22/02/2021).	<ul style="list-style-type: none"> <li>• Qualified accounts provided in respect of 2019/20 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  Last Review: 17/03/2023 Last Amended : 17/03/2023 15:24:37	5	5	25	4	4	16

**Existing Controls**

- Determine the correct use of transformation funding in relation to 2019/20 and 2020/21 audited by Grant Thornton -
- Regular meetings with Grant Thornton and corporate finance team to monitor progress of audit -
- The Council is taking advice on accounting treatment - Trowers and Hamilins on company legal arrangements in relation to Croydon Affordable Homes and Affordable Tenures and seeking QCs input (James Goudie) - Complete
- PWC on accounting treatment
- Worth TAS on accounting treatment.

**Future Controls**

- Opening the Books project - reviews completed but recommendation need to be implemented

Review Date

31/01/2023

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
RCS0040 West, Jane	The Council does not achieve financial sustainability and remains reliant on annual extraordinary central government support.  (Risk generated 11/04/2022).	<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>Continuing S114 notices in future</li> <li>Reputational damage.</li> <li>Not balancing 22/23 financial year.</li> <li>Not balancing 23/24 financial year</li> <li>Not balancing 24/25 financial year and future years</li> </ul>	West, Jane  Last Review: 17/03/2023 Last Amended : 17/03/2023 15:07:16	5	5	25	5	5	25

**Existing Controls**

- Financial assurance review meetings monthly -
- Oversight by DLUHC Improvement & Assurance Panel. -
- Public consultation activity. -

**Future Controls**

- Budget Working Group to be expanded and tasked with programme managing the delivery of the savings included in the MTFS	Review Date
- MTFS process for 2024/25 Preparations to be done in the spring for the process for 2024/25 Council Tax Setting	24/02/2023
Star Chambers with the Mayor and Cabinet over the summer.	01/09/2023
Negotiations with Department for Levelling Up, Housing and Communities on potential debt write off in the spring and summer .	
- Work being undertaken with the Department for Levelling Up , Housing and Communities to balance future year budgets Weekly meetings taking place with DLUHC officers	28/02/2023
Submission to be made by Croydon early in January	
Support from DLUHC to be confirmed in mid February	

Risk Scenario				Current			Future Risk Rating		
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
ACE0002  Jackson, Elaine	Lack of expert equality and diversity resource means that the Council is unable to deliver against it's Equality Strategy and EDI initiatives.	Failure to meet Public Sector Equality Duty Reputational impact with communities Reputational impact with staff Failure to deliver EDI projects and programmes Legal challenge against decisions	Handford, Gavin  Last Review:  Last Amended : 21/03/2023 09:46:35	4	5	20	4	4	16

**Existing Controls**

- EDI Board to challenge deliverability against available resources -
- EDI Board to support corporate EDI activity, with cascading to directorates -
- Equalities Programme Manager to provide challenge on deliverability of ambitions against available resource -

**Future Controls**

- New EDI resource to be recruited

Review Date  
31/05/2023

Risk Scenario				Current			Future Risk Rating		
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
ACE0003  Jackson, Elaine	The Council fails to plan for / provide a Designated Disaster Mortuary on behalf of the Senior Coroner.	Failure to meet statutory duties Failure to manage emergency incident Reputational impact Emotional distress to communities and families	Handford, Gavin  Last Review:  Last Amended : 21/03/2023 09:50:34	5	4	20	4	3	12

**Existing Controls**

- Regular engagement with Senior Coroner -

**Future Controls**

- Enter in to external contract for provision of DDM

Review Date  
31/07/2023

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
ASC0039  Robson, Simon	The quality of data, performance recording and insight impacts on operational and strategic oversight and service delivery.	Poor outcome from CQC inspection leading to directorate and council-wide reputational damage. Inability to direct resources effectively to meet business need. Inability to effectively forecast demand management and align allocation of resources to meet business need. Inability to effectively manage staffing caseloads. Inability to deliver accurate national data sets. Inability to deliver accurate data to strategic partners.	Robson, Simon  Last Review:  Last Amended : 07/03/2023 15:31:58	4	5	20	4	4	16

**Existing Controls**

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

Future Controls	Review Date
- 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	30/06/2023

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
CDS0003  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). Capital Programme Investment dimension. (Risk generated 15/10/2014)	<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  Last Review: 24/03/2023 Last Amended : 24/03/2023 14:22:01	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**

- To conduct a DR test to locate issues and build confidence

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
CDS0028 Golland, Paul	Organisational instability and responsive repairs contractual changes impacts the implementation of the new integrated Housing IT system (NEC) such that it is delayed or fails to deliver the intended benefits.	<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> </ul>	Golland, Paul  Last Review: 03/03/2023 Last Amended : 03/03/2023 15:05:57	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**

- Explicitly highlight and socialise expected end state for each service area /005 – Existing > implementing outcome of review	Review Date
05 - review complete, improved service engagement on project - ongoing Target - 31/5/23	31/05/2023
- 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
CDS0035 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  Last Review: 03/03/2023 Last Amended : 03/03/2023 15:10:08	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 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 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 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 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  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.  Grant Thornton - 'Report in the Public Interest' recommendation number(s): 1-20....  (Risk generated 28/10/2020).	<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  Last Review: 09/11/2022 Last Amended : 22/03/2023 10:40:00	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.
- 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**

- 30 Facilitators are to train a wider pool circa 80
- Corporate objectives updated to reflect new corporate standards to be launched

Review Date

09/02/2023

31/03/2023

- Following the design of the programme with circa 25/30 staff there will be a train the trainers approach , with circa 80 staff identified to complete culture change training and development across the Council.	31/03/2023
- Further Crossing the Threshold Phase 2 to be reported to CMT and rolled out from January 2023	09/02/2023
- Health & Wellbeing Strategy to go to Workforce Board November 2022	09/02/2023
- Health & Wellbeing will be refreshed and launched with a focus developing manager capability in managing staff with mental health conditions	31/03/2023
- 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
- The programme will include the wider culture change brought about by the May 2022 Mayoral Election. Roll out will be to CMT/Directors, followed by HOS, followed by all staff.	31/03/2023
- Under the Croydon renewal plan the cultural transformation programme is a key area of work that will define new behaviours Standard skills and core competencies and values that will reflect performance management and appraisal and new ways of working. All staff will be re-inducted against these standards.	30/03/2023
- We will continue to utilise co-creation as a means of involving and engaging the workforce to enable effective culture change .	21/06/2023
- 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	31/03/2023

Risk Ref	Risk Scenario		Assigned To	Current			Future Risk Rating		
	Risk	Impact		Impact	L'hood	Total	Impact	L'hood	Total
CIC0025  Rhys-Lewis, Huw	<p>Croydon Council companies: Robust governance, financial accounting treatment &amp; risk management procedures/frameworks are not activated to safeguard the interests of the Council and its taxpayers in respect of all subsidiary organisations where the Council has an interest.</p> <p>As raised in External Audit's Management letter/report presented to GPAC 20th October 2021. (Specifically in reference to Croydon Affordable Homes &amp; Croydon Affordable Tenures and Brick x Brick).</p> <p>Grant Thornton - 'Report in the Public Interest' recommendation number(s): 8,12,17,19 &amp; 20.</p> <p>(Risk generated (26/02/2021))</p>	<ul style="list-style-type: none"> <li>• Significant financial accounting adjustment</li> <li>• Reputational damage.</li> <li>• Political interest and scrutiny.</li> <li>• Media interest and scrutiny.</li> <li>• Council placed in unstable financial position leading to potential bankruptcy.</li> <li>• Potential fraudulent activity.</li> <li>• Continuing and increasing levels of non-compliance.</li> </ul>	<p>Rhys-Lewis, Huw</p> <p>Last Review: 17/03/2023 Last Amended : 03/04/2023 08:51:56</p>	5	4	20	4	4	16

**Existing Controls**

- Annual business plan of BXB reported to Cabinet. -
- Cabinet decision for managed wind down of BxB reached with build out of some sites -
- Cabinet member responsibility in portfolio. -
- Council taking external advice in respect of Croydon Affordable Homes and Croydon Affordable Tenures -
- Dedicated shareholder function in place to manage relationship and risks. -
- LBC non-executive directors allocated to serve on all subsidiary Boards. -
- Shareholder boards established specifically for Brick by Brick -and secondly for all other external companies feeding into the working group for council companies to report as part of the renewal plan delivery
- Shareholder Representatives and responsibilities identified following review. -

Future Controls	Review Date
<ul style="list-style-type: none"> <li>- Implementation of the recommendations of PwC Review of Croydon Companies</li> <li>- Review of governance of external and related companies. Further work/ implementation of the CCSMP structure with Member/Cabinet involvement to enable regular review of the arrangements for all Council companies</li> </ul>	31/03/2023

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
EHSC0016  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 unregulated provision.  (Risk generated 23/03/2020).	Children under the age of 16 are placed in semi independent 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  Last Review: 27/03/2023 Last Amended : 27/03/2023 10:35:02	4	5	20	4	3	12

**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.
- 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.

<b>Future Controls</b>	Review Date
- 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.	31/03/2023
- Introduction of Ofsted Regulation of provision currently categorised at Unregulated Ofsted Regulation commences from September 2023.	29/09/2023

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
FIR0062  Bannin, Allister	Funding levels provided through the Government Grant for future financial years are significantly lower than anticipated resulting in considerable savings being required to balance the Council's Medium Term Financial Strategy .  (Risk generated 27/06/2019).	<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  Last Review: 23/03/2023 Last Amended : 03/04/2023 11:05:18	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  Bannin, Allister	General increasing demand for council services driven by several factors including declining health in the borough, fuel poverty, cost of living crisis and rising interest rates increasing the financial demand on the council for services.  Update of risk raised at CMT (previously ELT) 21 September 2021	Service, financial, reputational, legal and people dimensions to the risk.	Bannin, Allister  Last Review: 17/03/2023 Last Amended : 03/04/2023 08:51:24	5	4	20	4	4	16

**Existing Controls**

- Additional discretionary hardship support 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
- 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
MO0003  Lawrence-Oru mwense, Stephen	On-going vacancies means continued pressure within the team. A number of initiatives to improve governance, means cumulative impact on staff demands. Improvements including more internal checks and quality control within the team, improving support to committees and chairs, internal cross training within team, reviewing all processes and procedures, reviewing internal and external web content, coordinating constitutional changes, improving report writing and training, tackling established practices with officers and Members.	Resources in Democratic services are under significant strain to minimise risks and improve governance, whilst maintaining business as usual and all associated statutory requirements, process and support to committees with on-going vacancies (x 3.5 FTE).	Lawrence-Oru mwense, Stephen Last Review: 16/03/2023 Last Amended : 16/03/2023 16:34:17	4	5	20	3	3	9

**Existing Controls**

- Developing and reviewing detailed action plan with team including prioritising -
- Interim Head of Service is now in place. -
- Moving to use of TOIL rather than Over-time as default to ensure breaks within team. -
- Ongoing Chairs training, officer guidance for reports has been reviewed and started , there is a review by internal audit -on member training.
- Staffing establishment under constant review. New interim Head of Service appointed and plans are in place to fill any -vacancies.
- Team meetings to focus on overall workloads and confirm R&Rs and re-balance / equalise work-loads throughout the team. -
- Team training sessions starting to raise knowledge base and shared understanding within the team . -

Future Controls	Review Date
- Rebalancing of workloads and R&Rs will develop further team culture and support amongst members.	27/02/2023
- Recruitment progressing for 2 x Dem Services & Governance Officers, and trainee recruitment to start. Aiming for starting Jan 2023	31/01/2023

Risk Scenario				Current			Future Risk Rating		
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
PP0009  Handford, Gavin	Improvement Plans and financial savings objectives are not achieved due to poor programme & project management behaviours.  (Risk generated 01/06/2020).	<ul style="list-style-type: none"> <li>• Non delivery of savings plan.</li> <li>• Council budget deficit remains.</li> <li>• Political scrutiny as to why project failed.</li> <li>• Non-achievement of statutory requirements / duties.</li> <li>• Media interest.</li> <li>• Low staff morale.</li> </ul>	Handford, Gavin  Last Review: 21/03/2023 Last Amended : 23/03/2023 08:45:14	5	4	20	4	4	16

**Existing Controls**

- Community of practice established, with regular support and development for project managers -
- Effective Governance Framework implemented -Senior Accountable Officer and Responsible officer identified for all MTFS items  
Regular updates captured
- MTFS 2023/24 process underway, with clear timelines for delivery -
- MTFS Assurance Meetings -Chaired by CEO and S151 Officer  
Finance and PMO support with updates on each MTFS item  
All items at risk reviewed, with mitigating actions agreed
- MTFS lessons learned -Lessons learned review underway

**Future Controls**

- Project management software procured and rolled out for use in all services Procurement complete  
Roll out to run until Sept 2023

Review Date

31/07/2023

Risk Scenario				Current			Future Risk Rating		
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
PP0021  Handford, Gavin	Pipeline of projects exceeding current resource requirements  'If demand for CPMO support exceeds CPMO resource supply, then demand for CPMO support will be unmet'	Either projects will be unsupported by the PMO, or, if supported, PMO Officers will be stretched beyond reasonable capacity (which we are starting to see already).	Handford, Gavin  Last Review: 21/03/2023 Last Amended : 21/03/2023 09:59:18	4	5	20	4	4	16

<b>Existing Controls</b>									
<ul style="list-style-type: none"> <li>- Corporate PMO established, with agreed framework, roles and responsibilities -Ongoing</li> <li>- Internal Control Boards / Programme Boards established -Ongoing</li> <li>- Recruitment Plan/Dedicated Community Manager -The PMO have undertaken an ambitious recruitment plan, having successfully offered to three G14 candidates, two G12 candidates, and two G8 in the past two months alone. The PMO also uses a robust triage process, weekly to ensure that the work taken on by the PMO is (a) appropriate, (b) prioritised appropriately, and (c) there is the appropriate capability &amp; capacity available within the team.</li> </ul> <p>In addition to this the Programme &amp; Project management Community of Practice that was established by the PMO now has a dedicated Community Manager, who is tasked with ensuring the Community builds capability within the council, therefore lessening demand on the Corporate centre, while simultaneously creating a pipeline of future PMO offices, should the team need to expand further.</p> <ul style="list-style-type: none"> <li>- Triage of the pipeline of work to ensure that the limited CPMO resource is matched to priority activity -Ongoing</li> </ul>									
<b>Future Controls</b>								Review Date	
- New project management software								31/07/2023	

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
PP0025 Handford, Gavin	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. A lack of available count venue could delay the count and declaration of results.	Handford, Gavin  Last Review: 01/03/2023 Last Amended : 21/03/2023 10:05:28	5	4	20	4	4	16

**Existing Controls**

- Establishment of Returning Officer Group and Elections Operations Group for delivery of May 2024 elections and any snap General -
- 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. Regular communications take place with these venues. Delegated approval is in place to ensure 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.

**Future Controls**

- Briefing of Presiding Officers on new Voter ID requirements and confirm their continuing availability for future elections
- Count venue A review of potential count venues is being undertaken - no venue selected at present, and suitable venues difficult to secure at short notice .
- Production of Work-plan and Risk Register for delivery of May 2024 elections and any snap General Election
- Review of Polling Districts and Polling places to come into force December 2023

Review Date

01/07/2023

31/01/2023

28/04/2023

01/12/2023

Risk Ref	Risk Scenario		Assigned To	Current			Future Risk Rating		
	Risk	Impact		Impact	L'hood	Total	Impact	L'hood	Total
PR0020 Iles, Steve	Kier are successful in the legal proceedings they have instigated against the Council in respect of the financial discrepancy (£8,165,967.80) they believe exists in respect of the Transforming Highways Maintenance Contract . Potential implication for the capital programme to be determined.  (Risk generated 10/12/2019).	<ul style="list-style-type: none"> <li>The Council will be liable for significant financial penalties.</li> <li>Reputational damage, media and political scrutiny.</li> <li>Existing service delivery pressure significantly increased.</li> </ul>	Iles, Steve  Last Review: 13/02/2023 Last Amended : 13/02/2023 08:48:30	5	4	20	5	2	10

**Existing Controls**

- Adjudication with contractor -both parties have provided information for the adjudication and as expected the adjudicator has confirmed what the council believed to be the case, Kier have been asked to provide details of C2 search activity against task order and supporting costs to demonstrate they expended costs.

Government cabinet office - Phil Brookes - also advised on claim - views

1. This is a supplier trying to take advantage of inconsistent contract management
2. The amount claimed bears no resemblance to the cost of providing the information. You are talking about a junior admin assistant and a printer and statutory utility information is usually something that suppliers don 't charge for as it is a safety requirement for the employees and is generally incorporated within the rates for doing the work.
3. The logic of the rate doubling when TFL ended in 2013 is a nonsense.
4. The safety argument that every repair requires the 'stat' information is not correct. The teams are trained to carry out their own risk assessment on every job and for a large proportion of the task orders, I would never expect the team to be supplied with utility drawings.
5. Where Croydon have generally asked for and paid for the services they have been in connection with 'major works' which would be the norm. It appears they have been inconsistent in applying the contract and Kier have tried to use this inconsistency to justify the cost claimed.

- Browne Jacobson are engaged by the Council to advise and guide. -BJs providing support and advice to respond to claim

- Highways Team have collated all supporting evidence / information to provide to BJ's. -on request data gathering and information being provided to management and BJs to support defending the claim

**Future Controls** Review Date

- Settling final accounts Croydon would like to wrap up the final account for the Contract and are happy to sit down and discuss the remaining outstanding items.

Liaising with the government cabinet office regarding this claim

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
PR0037  Iles, Steve	Conduent contract delayed delivery and the impact on income through PCNs	These delays have a risk of preventing the council from using on street CCTV for moving traffic violations, the consequence of this is an impact on income from PCNs	Iles, Steve  Last Review: 31/01/2023 Last Amended : 23/02/2023 15:38:03	4	5	20	3	3	9

**Existing Controls**

- Contract management and escalating poor performance through the contract mechanism -- Weekly meetings in place with contractor to go through the programmes for both Lot 1 & Lot 2 programmes focus areas
- Delay in the rollout of camera's due to a software update - implementation plan is in place and reviewed at each progress meeting, reprioritise the camera rollout to new LTN schemes to help with mitigating the potential impact on income.
- EasiPermit - software upgrade to enable automated processing of all permit types for residents, care workers etc.

**Future Controls**

- escalation and contract remedies - BJs through legal have been engaged and are providing advice around formal escalation of Conduents failure to deliver the requirements of the contract.
- Conduent have been instructed to provide a remediation plan to recover the ongoing delays with the role out of new ANPR cameras .
- weekly meetings with Conduents senior management team in place
- compensation claim being developed by the council to recover losses.
- programme delivery mitigation measures - LBC / Conduent - focus on Len changes on priority locations to mitigate financial impact.
- develop programme to deliver optimised camera resolution plan.
- Conduent to secure ongoing maintenance and camera liability for old Seimens cameras and cover costs.
- Conduent to work through locations where new lens are need for new camera's and provide likely upgrade timeframe
- EasiPermit - UAT testing programme submitted
- EasiPermit - plan b option to use online MS form or downloadable form to enable customers to apply for permits

Review Date  
13/02/2023

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
PST0025  Cheesbrough, Heather	Development Management cannot recruit sufficient appropriately trained staff to manage workload and address backlog and fee income generated does not cover staffing needs.	Back log now reducing slowly Staff go sick with stress Staff retention and recruitment is exacerbated by high workloads Cases are not appropriately managed and checked to sufficient high standard leading to errors and increase in JRs and losing appeals Increase in appeals for non determination Loss of Fees through Planning Guarantee, having to return fees to applicants Increase in complaints Performance drops below Government set targets and becomes a designated LPA Very low determination approval rates leading to repeat applications and unfunded second applications	Cheesbrough, Heather  Last Review: 16/02/2023 Last Amended : 16/02/2023 09:05:13	5	4	20	4	5	20

**Existing Controls**

- Case officers to prioritise determination of cases and reduce negotiation and amendments to a minimum -
- Developed a protocol for application which may engage the Planning Guarantee and continue to implement agreed procedure -
- Development of a Planning Improvement Plan following PAS Review -Range of actions to address recruitment and retention, IT software improvements to improve case officer efficiency ,
- Review MFS on Planner salaries -This will have a budget impact but growth bid could be considered

**Future Controls**

- Seek to increase productivity through technology following the recommendation of the PAS review

Review Date  
21/04/2023

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
VRN0055  Aspinall, 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, Kristian</p> <p>Last Review: 16/02/2023 Last Amended : 16/02/2023 09:07:23</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
- 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.

Future Controls	Review Date
- A possible "winter program". GLL to re-evaluate their opening hours at the leisure facilities on a case-by-case basis.	11/04/2023
- A possible financial package to be agree where ethe council subsidies temporary energy rises . LBC are looking at more detailed evidence of GLL's financial position with a view of offering financial support specifically for their energy costs .	11/04/2023
- Identifying new ways of reducing energy costs.	11/04/2023
- Regular meetings with GLL to continue to assess their position	11/04/2023