

Appendix 1: Risk Register Red Risks October 2022

Risk Ref	Risk Scenario		Assigned To	Current			Future Risk Rating		
	Risk	Impact		Impact	L'hood	Total	Impact	L'hood	Total
ASC0034 Robson, Simon	<p>Inflow to Occupational Therapy waiting list in the month of March has been approximately 50 cases per week. This is beyond the Service's capability to address. The waiting list has grown from 520 to 730 from late Feb to 24 March.</p> <p>As of 19 May 2022 the waiting currently sits at 646.</p> <p>Continued recruitment is a priority and activity is taking place at present.</p> <p>11/08/22 - waiting list remains around 640-650 - additional staff have been brought in and recruitment continues to both band 4 and principal OT grades.</p> <p>04/10/22 - - updated SO - Inflow to Occupational Therapy waiting list in the month of September has been approximately 50 /60 cases per week. This is beyond the Service's capability to address. The waiting holds anywhere between 650 and 700 consistently across the summer and into autumn in 2022.</p> <p>Reviewed 3/5/22 - SO Reviewed 19/05/22 - SO Reviewed 11/08/22 - SO Reviewed 31/08/22 - SR Reviewed 04/10/22 - SO</p>	<p>- Clients waiting an unacceptable length of time for statutory occupational therapy assessments/equipment.</p> <p>- Clients at risk as a result of the above e.g. slips, trips and falls as well as lower day to day quality of life re mobilising and activities of daily living, i.e. cooking, personal care.</p> <p>- Increased domiciliary spend (as a result of clients not having equipment).</p>	Robson, Simon	5	5	25	4	4	16

Existing Controls

- Additional capacity being recruited -Recruited to band 6 OT posts x 3
Plus agency staff starting Oct plus one OT assistant starting Oct.
Band 6 post recruitment commenced.
Short term project with OT and Adult support team to look at managing demand at front door .
MAU posts being recruited to.
- Additional Measure details below:-
 - Having an OT available within the duty team effective in tackling urgent work and supporting urgent allocations . 11/08/22 - OT not yet in place at Front Door - this is a part of a wider demand management project in which OT are involved.
 - Interview for Clinical Lead 16 June 2022., B5 OT started 16 May 2022, student OT started 16 May 2022 and OT tech starting 23 May 2022. 11/08/22 - Clinical Lead appointed and in post.
 - Principal Occupational Therapist permanent recruited to and hoping to start in January .
 - Ongoing recruitment to vacancies. Significant recruitment has taken place throughout the summer.
- All OT referrals are triaged at the point of contact so that all urgent cases are allocated within 1-2 weeks -Less urgent cases are waiting up to 11 months.
The new senior OT team come into post on 9/9/22 and we have had SCP permission to extend agencies until Christmas .
OT techs have been in post for over 2 months and are helping maintain the run rate.
Principal OT attended Demand Management Meeting to talk through OT pathway .

Future Controls

- New Principal OT starting Nov More effective and efficient resource management through revised managing demand approach

Review Date

30/11/2022

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"> 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 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"> System: Idox Uniform used by: Planning, Building Control, Environmental Health, Commercial Licensing, Trading Standards, Food Standards System: Visual Files used by: Legal services and external legal System: Civica Express (Election Management System) used by: Democratic Services System: Business Objects used by: Adults and Childrens Social Care System: Corporate GIS used Corporately System: Capita One used by: Education System: SharePoint used Corporately System: OHMS used by: Housing System: CASPAR used by: Adults Social Care System: Epilog used by: Crematorium & Registrars 	Golland, Paul Last Review: Last Amended : 24/08/2022 16:29:58	5	5	25	4	2	8

Existing Controls		Review Date
<ul style="list-style-type: none"> 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 - 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
<ul style="list-style-type: none"> 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 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 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 Review apprenticeship options /09 - CDS capability review commissioned to define support target operating model incl apprenticeships > 31/3/23 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 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 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 		

Risk Ref	Risk Scenario		Assigned To	Current			Future Risk Rating		
	Risk	Impact		Impact	L'hood	Total	Impact	L'hood	Total
CIC0005 Mitchell, Peter	<p>The investment strategy and income generating properties do not deliver the required financial benefits / targets.</p> <p>**Main Risks Colonnades (potential £700k), Davis House (£200k), BWH (Arcadis £750k) remainder portfolio (£100k). Issue compounded by the inability of landlords to take swift action through the courts to pursue non-payment remedies**.</p> <p>Review & Update 19/11/2021 - CPH & College Green in active transactions . Colonnades, Davis House and wider portfolio currently holding performance, BWH require bid for growth following Arcadis departure but now being actively marketed and 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"> Financial loss due to under-performance of assets through non-payment of rents due to failure of tenants, reduced rents or deferrals. Service area funding / continuity of delivery could be impacted as a result of lower revenue income to support. Reputational damage due to failure of high profile assets. Political and media scrutiny. Covid-19 pandemic and Brexit significantly impact on investment properties and the general rental income across the wider portfolio leading to reduced revenue generation. Inability of landlords to take swift action through the courts to pursue non-payment remedies 	Mitchell, Peter Last Review: 06/09/2022 Last Amended : 30/09/2022 12:43:02	5	5	25	4	5	20

Existing Controls

- Clear and agreed (Scrutiny & Cabinet) strategy in place. -Strategy incorporates CIPFA recommendations.
- Croydon Park Hotel disposal imminent Dec 2021. -
- New ways to utilise properties to secure longer term security being investigated. -
- 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: Capital Strategy Draft back in Nov

Review Date
30/11/2022

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
CIC0008 Mitchell, Peter	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 as at 19/11/2021 - Team Leader (Sustainability & Energy) is proactively looking at alternatives as LBoC is on Fixed pricing schedule until 31/03/2022. 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	Mitchell, Peter Last Review: 06/09/2022 Last Amended : 30/09/2022 12:44:07	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

Future Controls

- Reviewing Energy Strategy including: Green / Sustainability agenda
Lower CO2 footprint
Seeking Carbon Neutral opportunities
Presenting back to Members

Review Date
30/06/2023

Risk Scenario				Current			Future Risk Rating		
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
CIC0010 Mitchell, Peter	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 Reported to CMT/Leader w/c 15/11/2021 (Risk generated 19/05/2021).	<ul style="list-style-type: none"> • Council is liable for the outstanding debt. • Political and media scrutiny and interest. • Financial loss on sale of BxB assets. • Loss of interest on loan payments 	Mitchell, Peter Last Review: 06/09/2022 Last Amended : 30/09/2022 12:45:45	5	5	25	5	4	20

Existing Controls	
<ul style="list-style-type: none"> - 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. - Revised loan agreement to Brick by Brick (excluding Fairfield Halls) - <p>Loan agreement setting down rights and obligations of parties.</p> <p>Separate bank account established for accrued interest on loans provided by Council</p> <p>Regular Operational meetings between company & Council and Shareholder board</p>	
Future Controls	Review Date
- Forensic Investigation report in respect of Fairfield Halls Report	31/12/2022

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
ED0003 Davies, Shelley	The number of Council maintained schools moving into a financial deficit leading to default and arrears continues to increase. Decrease in pupil numbers is further impacting on school budgets and likelihood of moving into financial deficit. This current financial situation of schools / education provision is further impacted by the increases in energy prices and additional support needed for individual families, alongside already straining budgets. (Risk generated 08/08/2017).	• Financial loss to LBC as the Council holds liability to settle deficit should schools transfer to academy status under a forced academy order.	Davies, Shelley Last Review: 05/09/2022 Last Amended : 30/09/2022 12:47:10	5	5	25	4	5	20

<p>Existing Controls</p> <ul style="list-style-type: none"> - 'Schools of concern' are under monthly review. - - Deficit schools report financial outturn monthly to LBC. - - Focus on schools with significantly reducing pupil numbers and therefore funding -Letter highlighting this sent to schools and follow up discussions / meetings on actions schools need to take. - Implementation of new strategies following -Independent Financial Review of 'Schools in Deficit' this includes visits to 'Schools in Deficit' - Oversight of any significant deficit reporting as a result of C19 in place. - - Regular update meetings with the Governing Body's / SLT's of schools with the highest levels of debt. - - Risk rating system is in place for each of the schools that are either in deficit or 'causing concern'. - - Schools are met with by senior finance and education officers -to discuss their deficit and their action plan for setting a balanced budget in the future. This is key for any schools deciding to convert to academy status. - Schools are requested to set a licence deficit plan – -this includes a 3 year budget plan as to how the school will return to a balanced position. - We have input into the school's 3 year business plan to shape repayment terms and included a formal letter of agreement. - Termly finance meetings for all maintained schools sharing best practice etc . - Where appropriate the Council is using its statutory powers to investigate installing an Interim Executive Board (IEB). - Powers are limited in terms of financial benefit to the LA but could steer the school towards a form of collaboration with another education body. 			
<p>Future Controls</p> <ul style="list-style-type: none"> - School Resource Management Advisor to target meetings with additional school leadership teams and Chair of Governors to review deficit action plans during the start of Autumn term and provide advice to bring budgets in line. 			<p>Review Date 31/12/2022</p>

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
HSI0023 Tate, Stephen	<p>Major increase in disrepair cases raised under the disrepair protocol and as a result of The Homes (Fitness for Human Habitation) Act 2018.</p> <p>**Act requires landlords to ensure that homes are fit for human habitation and is the most significant change in the law relating to housing conditions since the Housing Act 2004. The first phase of these provisions came into force in March 2019 and new tenancies granted since then have been subject to the new legislation.** Capital Programme Investment Implication</p> <p>(Risk generated 13/05/2021).</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"> • 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. • 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. • The Homes (Fitness for Human Habitation) Act 2018 which came into effect April 2019. • 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. <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 Last Review: 01/09/2022 Last Amended : 30/09/2022 12:48:06	5	5	25	5	4	20

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.

- Disrepair cases are managed by the Disrepair surveyor and supported by the Senior surveyor - and Technical Manager in the Technical Team . Approval to appoint an agency disrepair surveyors has been granted

Future Controls

- 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

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
HSI0024 Tate, Stephen	The Council does not meet its landlord obligations for the delivery of the Capital investment across the HRA estate. (Risk generated 30/10/2020).	<ul style="list-style-type: none"> • Unsafe buildings. • Enforcement action against the Council by regulatory bodies. • Political scrutiny and interest at local and national level. • Media interest at local and national level. • Substantial financial loss. • Serious incident / injury. • Government Intervention 	Tate, Stephen Last Review: 31/08/2022 Last Amended : 30/09/2022 12:49:29	5	5	25	5	4	20

Existing Controls

- Current Monthly Control Processes include: -Monthly monitoring meetings set with capital programme leads
- Monthly highlight reports completed by programme leads capturing progress, risks, challenges and opportunities
- Monthly reporting Assets & Capital Delivery Board meetings set to review progress, governance, risks and change control mechanism
- Monthly reporting to Corporate Capital Delivery Board for urgent risks/issue and escalations

Future Controls

- Development of an Asset Management Strategy determining investment needs Complete condition surveys to inform investment plans
- Investment plan and strategy informs future delivery models (capital delivery suppliers)
- Future delivery models inform commissioning/procurement strategy
- Increased number of suppliers other than existing partners promotes healthy competition, contributes to competitive pricing (VFM) and delivery assurance
- Monthly progress monitoring and escalations with existing contractors via contract meetings including focusing on Partnering/ Commercial and Annual contract review of existing suppliers 2023/24
- Recruitment of a Programme Assurance Manager to oversee programme assurance /governance
- Recruitment to surveyor team: Progress check autumn 2022

Review Date

31/03/2023

31/03/2023

31/12/2022

30/11/2022

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
PH0007 Flowers,Rachel	The indirect impact of a global pandemic plus the cost of living crisis widen health inequalities in both physical and mental ill health and increase demand on all Council services. ** e.g. overcrowded/poor housing - less effective self-isolation; those in deprived areas more likely to have underlying conditions; unsecure employment leading to great financial insecurity**. (Risk generated 24/03/2020).	<ul style="list-style-type: none"> Increasing demand on Council services as this occurs. Increased mortality and morbidity in more vulnerable groups. Adult Social Care pressure. Housing demand. Political and media interest..... 	Flowers,Rachel Last Review: 08/08/2022 Last Amended : 30/09/2022 12:55:00	5	5	25	5	4	20

Existing Controls

- Targeted comm's and engagement to the 'at risk' populations / vaccination uptake work included. - most recent targeted coms was series of TikTok videos by local influencer shaped and developed with you people to increase vaccination uptake.
- Vax van
- Achievement of coverage for all age categories for covid vaccination -There is now an annual covid vaccination programme, at this time Croydon also has a Vax targeting different communities increasing first time vaccination
- COVID-19 and flu messaging detailed in the NHS Health Check invitation communication -
- Epidemiology data provided by DHSC ,LCRC and SWL NHS reviewed by PH Team on a daily basis to enhance understanding . -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

The mitigation/control measures are around education, housing quality, employment opportunities, access to services, including health services.

There is also a regional and national dynamic to the control measures

- 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
- The Outbreak Control Plan operating to ensure that there is coordinated approach to provide - effective delivery across the borough in a coordinated and targeted process . 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

Future Controls Review Date

- No further/future controls identified 31/10/2022

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
PP0009 Handford, Gavin	Corporate financial savings objective is not achieved due to poor programme & project management behaviours. (Risk generated 01/06/2020).	<ul style="list-style-type: none"> • Non delivery of savings plan. • Council budget deficit remains. • Political scrutiny as to why project failed. • Non-achievement of statutory requirements / duties. • Media interest. • Low staff morale. 	Handford, Gavin Last Review: 13/07/2022 Last Amended : 30/09/2022 12:56:01	5	5	25	5	4	20

Existing Controls

- 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

- Community of practice established, with regular support and development for project managers
- Project management software procured and rolled out for use in all services

Review Date

31/10/2022

31/01/2023

Risk Ref	Risk Scenario		Assigned To	Current			Future Risk Rating		
	Risk	Impact		Impact	L'hood	Total	Impact	L'hood	Total
PR0013 Iles, Steve	<p>Sustainable Parking Services Income</p> <p>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.</p> <p>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.</p> <p>(Risk generated 17/05/2017)</p>	<p>• inability to balance the budget due to Income loss through pay and display and penalty charge notices</p>	<p>Iles, Steve</p> <p>Last Review: 15/08/2022 Last Amended : 06/09/2022 12:55:49</p>	5	5	25	4	5	20

Existing Controls

- 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.

The development of a financial dashboard to form part of the monthly monitoring process.

The 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 on the parking policy and approaches to pay and display charging

Future Controls

- 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)

Review date: - November 2022

- 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.

Review date: - February 2023

Review Date
19/12/2022

28/02/2023

Risk Ref	Risk Scenario		Assigned To	Current			Future Risk Rating		
	Risk	Impact		Impact	L'hood	Total	Impact	L'hood	Total
PST0001 Cheesbrough, Heather	<p>The Whitgift Centre is not redeveloped in a timescale to deliver the necessary regeneration of the town centre which promotes economic activity and vitality</p> <p>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.</p> <p>(Risk generated 18/05/2015).</p>	<ul style="list-style-type: none"> Major economic, regeneration and social impact on the vitality and viability of the Town Centre and North End Political and media scrutiny 	<p>Cheesbrough, Heather</p> <p>Last Review: 05/09/2022 Last Amended : 03/10/2022 13:11:13</p>	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

31/01/2023

31/01/2023

31/01/2023

31/01/2023

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 continues to increase 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: 05/09/2022 Last Amended : 03/10/2022 13:10:44	5	5	25	4	5	20

Existing Controls

- 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 ,
- Reduce communication with applicants and public to a minimum - Case Officers to focus on case determination at all times
- Review MFS on Planner salaries -This will have a budget impact but growth bid could be considered

Future Controls	Review Date
- Develop a protocol for application which may engage the Planning Guarantee	31/01/2023
- Seek to increase productivity through technology following the recommendation of the PAS review	31/01/2023

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"> • Qualified accounts provided in respect of 2019/20. • Loss of control of financial position • Political scrutiny applied at local and national level. • Media interest and scrutiny at local and national level. • Continuing financial loss. • Reputational damage. • Potential investigation of historic financial practices. • Impact on reserves 	West, Jane Last Review: 01/09/2022 Last Amended : 03/09/2022 11:20:27	5	5	25	5	4	20

Existing Controls

- Regular meetings with Grant Thornton and corporate finance team to monitor progress of audit -
- Specific use of transformation funding in relation to 19/20 and 20/21 audited by Grant Thornton -in consultation with corporate finance team.
- 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

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	Future Planned Savings for 2022/23 and future years are not delivered as planned in the Council Tax Setting reporting March 2022. (Risk generated 11/04/2022).	<ul style="list-style-type: none"> • Do not meet terms and conditions set out by MHCLG in Capitalisation Direction Agreement (2021) / Three Year Delivery Programme. • Inappropriate financial behaviour and practice evidenced. • Political scrutiny applied at local and national level. • Media interest and scrutiny at local and national level. • Impact on reserves • Continuing financial loss and potential S114 notice • Reputational damage. • Potential investigation of historic financial practices. • Not balancing 22/23 financial year. 	West, Jane Last Review: 01/09/2022 Last Amended : 06/09/2022 13:46:37	5	5	25	5	3	15

Existing Controls

- Corporate finance working with services to identify further savings for 2022/23 - Via Star Chamber process
- Financial assurance review meetings monthly -
- Oversight by DLUHC Improvement & Assurance Panel. -
- Public consultation activity. -
- Review and revision of budget setting process and meetings being conducted by Section 151 officer. -Review complete. Reported to CMT. MTFS timetable for 2022 has been signed off and shared with the Mayor.

Future Controls	Review Date
- Budget Working Group to be expanded and tasked with programme managing the delivery of the savings included in the MTFS	31/10/2022
- Timescales for Council Tax Setting to be signed off at Cabinet in October 2022	31/10/2022

Risk Scenario				Current			Future Risk Rating		
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
CDS0007 Golland, Paul	Lack of adequate technology disaster recovery arrangements. (Risk generated 23/09/2016)	• Key ICT systems would not be available for a long period (many days) which would adversely impact business continuity.	Golland, Paul Last Review: 15/08/2022 Last Amended : 15/08/2022 14:35:21	5	4	20	3	3	9

Existing Controls

- Annual BWH Power down confirms key infrastructure can be restarted in event of power loss -

Future Controls

- For all BWH hosted applications need to plan a DR failover test
- For all supplier-hosted SaaS applications need to confirm with supplier what steps have been taken (and ideally plan to test
- Need to list all the applications not hosted on the MS Azure platform and what the DR solution is for those
- Need to plan to test the Azure failover process to prove we can recover to the MS DR Data Centre Waiting for Capita response therefore target date is to review
- Table top exercise with the Resilience Team

Review Date

31/03/2023

31/08/2022

08/11/2022

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
CDS0021 Golland, Paul	<p>The ICO applies a statutory notice and other enforcement measures to the Council for non-compliance of statutory regulation in relation to breaches of:</p> <ul style="list-style-type: none"> GDPR Other Data Protection Regulation FOIA SAR's <p>Reviewed DLT 31/05/22. FOI response rate still below targets</p> <p>Current risk rating changed to Red due to a reprimand received in August</p> <p>(Risk generated 01/11/2019).</p>	<ul style="list-style-type: none"> Reputational and financial damage. Media and public scrutiny. Legislative action. Political scrutiny. 	<p>Golland, Paul</p> <p>Last Review: 15/08/2022 Last Amended : 04/10/2022 14:52:33</p>	4	5	20	3	3	9

Existing Controls

- Implemented a forward plan to address the backlog of SAR and FOI which has been agreed and funded by CMT. -
- Increased the resource within the team and reviewing the reporting, system and processes in place -
- Liaising with the ICO and providing updates on the teams progress, sharing the temp resource structure and process changes -
- Reduced backlog of FOI through data cleansing -Existing Controls
- Strengthening resource, embedding accountability and ownership for service areas, implementing IMMSG governance ... 31/12/2022
- Implemented Infreemation as new system solution August 22
- Dedicated DPO in post to review duties August 22
- Improvement plan in place to be delivered by 31/12/2022
- IMSG Re-instated September 22

Future Controls

- Improve organisation awareness of the legislation to ensure uniform redaction, and information is only released that should be applying exemptions where necessary.
- Reduced backlog of FOI through data cleansing Future Controls Review Date
- Review and create Policy and training Guidance 31/12/2022
- Improve the training of the information management team 30/ 11/2022
- Process review and implement regular reporting to senior management team 30/ 11/2022
- Identify duplicate requests and improve consistency with responses 31/12/22
- Strengthening resource, embedding accountability and ownership for service areas, implementing IMMSG governance ...

Review Date

31/03/2023

31/12/2022

31/12/2022

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"> Have to retain legacy systems for longer, costing more and breaching tender regulations Cost of programme increases to support project resources for a longer period of time Takes longer to onboard the required resources to deliver the project due to extended internal checks and balances on spending confirmed budget Housing MTFS savings not able to be met until new system is live and sufficiently adopted Reduction in staff morale due to change fatigue and financial pressures Scope creep & 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 	Golland, Paul Last Review: Last Amended : 06/09/2022 13:03:49	5	4	20	4	3	12

Existing Controls

- Ensure project governance arrangements (especially core meetings) are reviewed -and agreed by the SRO (revisited should SRO change)
- Ensure service clearly articulate who the SRO is -
- Ensure visibility at Digital Control Board -/09 - Housing project a standing agenda item at DICB so this is now an EXISTING control
- Focused engagement for each change in interim officer at Head of Service , Director, and Corporate Director level -
- Maintain active RAID log -
- Recruited to Project Manager to manage this and reactivated the new board -

Future Controls	Review Date
- Clear direction on split between capital and HRA funding confirmed /08 - Started work on making programme budget more granular, wider discussion around HRA for project and BAU split will take longer > 31/3/23	31/03/2023
- Explicitly highlight and socialise expected end state for each service area Independent review commissioned to assess technical and service readiness by service area - review date > 31/1/23	31/01/2023
- Responsive Repairs plan baselined for all workstreams /07 - Resp Repairs workstreams progressing with dedicated Board. CDS tech workstream needs project manager - awaiting SCP approval > 31/12/22	31/12/2022
- Service led change management plan agreed and resourced - Change management discussions highlighted need for independent readiness review, change plan will be updated following that review > 27/2/23	27/02/2023

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
CDS0029 Golland, Paul	Restarting after a period of inactivity and needing to change business processes impacts the migration to the Synergy Education Management IT system such that it is delayed or fails to deliver the intended benefits.	<ul style="list-style-type: none"> Have to retain legacy Capita One system for longer, costing more and breaching tender regulations Cost of programme increases to support project resources for a longer period of time Takes longer to onboard the required resources to deliver the project due to extended internal checks and balances on spending confirmed budget Insufficient time to bring in suitable specialists/backfill officers to meet supplier dates Reduction in staff morale due to change fatigue and financial pressures We do not have the experienced in-house support staff resource to support business-as-usual across multiple systems and the migration so are reliant on appointing temporary project staff Education white paper recommendations not able to be implemented 	Golland, Paul Last Review: 15/08/2022 Last Amended : 15/08/2022 14:48:19	5	4	20	4	2	8

Existing Controls

- Engagement from all key stakeholders, especially appropriate Heads of Service -
- Ensure project governance arrangements are reviewed and agreed by the SRO -
- Ensure service clearly articulate who the SRO is -
- Ensure visibility at Digital Control Board -/08 - Education project a standing agenda item at DICB so this is now an EXISTING control
- Fortnightly Board meetings until plan confirmed and RAID items agreed -
- Supplier key dates shared openly and as far in advance as possible -

Future Controls	Review Date
- CCB approval for 23/24 Capita One contract position /12 - Negotiations with Capita have extended deadline for formal notification - now working with procurement to agree approach > 1/12/22	01/12/2022
- Clear direction on grant funding position to cover support costs confirmed / 11 - Grant funding options part of strategic review and follow-on work to agree this > 31/3/23	31/03/2023
- Confirm project and business resources aligned to supplier dates (approved by Board) /06 - Concerns with approach and solution have led to a strategic review being commissioned to assess this - review date > 15/12/22	15/12/2022
- Document and agree support requirements for Orchestra module /10 - Linked to corporate initiative on systems governance (a sub-group reporting into Digital Control Board) & CDS capability review to define support target operating model > 31/3/23	31/03/2023
- SEN Finance target process options documented and agreed /09 - SEN Finance process part of the strategic review, options paper to follow to define solution > 15/2/23	15/02/2023
- Service led change management plan agreed and resourced /07 - Change management discussions highlighted need for independent readiness review, change plan will be updated following that review > 27/2/23	27/02/2023

Risk Scenario				Current			Future Risk Rating		
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
CDS0034 Golland, Paul	Memorial Safety The memorial safety programme covering both Mitcham Road and Queens Road Cemeteries since Covid19. There are approximately 30,000 memorials across both sites which have not been checked due to a shortage of staff, the difficulties experienced recruiting a team leader and dated inefficient technology. We are legally responsible should a service user or visitor be injured by an unsafe memorial which could lead to fines and prosecutions	Memorials not been safety checked for approximately 3 years New memorials coming in not check after installation Risk of memorials deteriorating since last checked Increased risk of injury to service users and staff Negative PR and increased political and media interest should an incident occur Increased complaints Negative PR and increased political and media interest Increased risk of legal action against us	Golland, Paul Last Review: Last Amended : 08/08/2022 13:18:14	4	5	20	4	4	16

Existing Controls
<ul style="list-style-type: none"> - Checking Masons memorial permits ad-hoc - - Dealing with dangerous memorials on an ad-hoc basis when identified - - Vetting memorial permit applications -

Future Controls	Review Date
- Identify the benefits/costs of outsourcing. If appropriate develop business case subject to independent review	31/01/2023
- need to provide training to refresh staff skills and train new members subject to independent review	31/03/2023
- Need to recruit to current Grounds team Leader Post Currently out to advert	30/11/2022
- Need to review current staffing levels subject to independent review	28/03/2023
- Need to review Memorial Safety Programme and amend where necessary subject to independent review	31/01/2023

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"> Increasing and uncontrollable financial loss. Legislative action due to non-compliance with statutory obligations. Workforce behaviours critically damage the organisation. Political scrutiny and interest at local and national level. Media interest at local and national level. Staff morale. Continuing and increasing reputational damage. Government intervention. Employment tribunals and potential for litigation HR process Recruitment and retention of staff 	Shoesmith, Dean Last Review: 24/08/2022 Last Amended : 24/08/2022 11:44:01	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. -
- Governance Framework in place which is modelled on the CIPFA / SOLACE methodology. -
- Internal Audit Programme developed and delivered each financial year. -
- 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
- 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

- Corporate objectives updated to reflect new corporate standards to be launched
- 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.
- Health & Wellbeing will be refreshed and launched with a focus developing manager capability in managing staff with mental health conditions
- Introduction of 360 reviews for all managers commencing with Head of service and above and incrementally including all managers by April 2023

Review Date

31/03/2023
31/03/2023
31/03/2023
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. Target date Nov 2022

30/11/2022

- 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 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: 05/09/2022 Last Amended : 05/09/2022 13:58:35	4	5	20	3	3	9

Existing Controls

- Additional support has been provided to tackle backlog of minutes and cover staff vacancies -
- 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. -
- 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. By beginning of Oct 2022	31/10/2022
- Recruitment progressing for 2 x Dem Services & Governance Officers, and trainee recruitment to start. Aiming for starting Nov/Dec 2022	31/12/2022
- Training for Chairs, Members and Officers, clear advice and guidance online, will reduce problems arising and contact with team	01/12/2022

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: 25/08/2022 Last Amended : 25/08/2022 14:44:29	4	5	20	4	4	16

Existing Controls

- Corporate PMO established, with agreed framework, roles and responsibilities -
 - PMO recruitment -recruitment underway, with additional capacity being created
 - 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 & capacity available within the team.
- In addition to this the Programme & 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.
- Triage of the pipeline of work to ensure that the limited CPMO resource is matched to priority activity -

Future Controls

- Internal Control Boards / Programme Boards established

Review Date

31/10/2022

Risk Scenario				Current			Future Risk Rating		
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
PP0022 Handford, Gavin	Statutory Coroners service failures due to resource pressures....	Reputational damage Emotional impact on families Overspend pressures if partners do not support additional resources	Handford, Gavin Last Review: 13/07/2022 Last Amended : 05/09/2022 12:18:29	4	5	20	3	3	9

Existing Controls

- Expert consultant employed to support service review and improvement -
- New Head of Coroners service post recruited -
- Recruitment of additional staff resource -Underway
- Regular meetings held with local authority partners and Met Police -
- Regular meetings with Senior Corner held -
- Second Coroners Court established to manage case backlog -

Future Controls

- Develop service improvement plan, with regular reporting

Review Date

30/09/2022

Risk Ref	Risk Scenario		Assigned To	Current			Future Risk Rating		
	Risk	Impact		Impact	L'hood	Total	Impact	L'hood	Total
RCS0032 West, Jane	<p>Croydon Council companies: Robust governance, financial accounting treatment & 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 & Croydon Affordable Tenures and Brick x Brick).</p> <p>Grant Thornton - 'Report in the Public Interest' recommendation number(s): 8,12,17,19 & 20.</p> <p>(Risk generated (26/02/2021))</p>	<ul style="list-style-type: none"> • Significant financial accounting adjustment • Reputational damage. • Political interest and scrutiny. • Media interest and scrutiny. • Council placed in unstable financial position leading to potential bankruptcy. • Potential fraudulent activity. • Continuing and increasing levels of non-compliance. 	West, Jane Last Review: 03/09/2022 Last Amended : 06/09/2022 13:55:33	5	4	20	5	4	20

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. -
- PwC Review of the transparency of reporting of any remedial action taken to address in year overspends. -.....
- 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. -
- Strategic review recommendations agreed to reduce risks and deliver secure financial path forward. -

Future Controls	Review Date
- Review of governance of external and related companies. With target date for further work/ implementation of the CCSMP structure with Member/Cabinet involvement, meetings scheduled to March 2023	31/03/2023

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
RCS0041 West, Jane	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 . Awaiting details of the Fair Funding Review and other inputs eg Adult Social Care funding proposals. (Risk generated 27/06/2019).	<ul style="list-style-type: none"> • Service disruptions or services ceased • Key manifesto / corporate objectives not achieved. • Resident dissatisfaction. • Media and political scrutiny. • Legal challenge and associated consequences. • Staff reductions / redundancies. • Unable to deliver a balanced budget. • Issue Section 114 notice. 	West, Jane Last Review: 03/09/2022 Last Amended : 04/10/2022 17:23:06	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 -
- 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, exploiting new technology, consolidation of buildings and processes.

Future Controls

- No further/future controls identified at this time

Review Date

01/12/2022

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
RCS0042 West, Jane	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.	West, Jane Last Review: 03/09/2022 Last Amended : 30/09/2022 13:02:16	5	4	20	5	4	20

Existing Controls

- 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

- No Further/Future Control Measures Identified at this time

Review Date

31/10/2022

Risk Ref	Risk Scenario		Assigned To	Current			Future Risk Rating		
	Risk	Impact		Impact	L'hood	Total	Impact	L'hood	Total
VRN0024 Aspinall, Kristian	<p>A rise in domestic abuse in the borough resulting in greater numbers of murders and serious harm. Referrals February 2021: 66 high harm high risk (Multi-Agency Risk Assessment Conference (aka MARAC). Current MARAC referrals for the month of January 2022 = 75. MARAC referral rate for Feb, March, April 2022 = 195. 2% increase in crime rate from May 2021 to April 2022.</p> <p>(Risk generated 25/06/2018).</p> <p>MARAC referral rate for May, June, July 2022 = 230. 17% increase on the previous 3 months</p>	<p>Death or serious injury to clients and their children / families.</p> <ul style="list-style-type: none"> Financial loss due to increase in the pressure on inter-related services as well as DASS. Legislative action..... 	Aspinall, Kristian Last Review: 09/08/2022 Last Amended : 09/08/2022 12:42:37	4	5	20	5	3	15

Existing Controls

- Feb 2021 - The council sought agreement to a refreshed approach from the partners in the -Community Safety Partnership to the recommendations from Domestic Homicide reviews. This should give new focus from partners to learning the lessons from domestic homicides in the borough.
- Action plans for Safer Croydon Partnership. -- Action plans for Safer Croydon Partnership. -
- Action plans for the Council's Domestic Abuse Support Service (DASS). -
- Active management of workloads and pressures on staff . -
- Commissioning of DRIVE service provider. -
- Community Safety Strategy -The new Community Safety Strategy is being agreed at cabinet on the 15th November 2021, and includes specific actions and updates to our approaches on domestic violence and efforts to reduce long term causes of violence.
- Contingency location identified if move is delayed. -
- Crime & Disorder Reduction Strategy. -
- Domestic Homicide Reviews -We have agreed the funding for our domestic Violence Homicide reviews as of WB 11 /11/2021, and this will be taking place in the coming months. Any actions resulting of these will be captured in an ongoing partnership action plan, and they will be quality reviewed by the Home Office as per protocol .
- FJC -Advocates for victims of domestic abuse and sexual violence White Ribbon Borough and petition.
- FJC team working with victims and putting in place new advocacy measures -
- High number of referrals for MARAC (VAWG pan London) -We will be developing a VAWG Strategy The Police will increase their presence in Town Centres across London MARAC's will continue to be held weekly to manage the volume Secured MOPAC funding for 2 additional IDVA's to assist in managing MARAC capacity and support our mental health and childrens services .
- MARAC and DAPP processes in place. -Occurring weekly to manage increased referral volume.
- Plans in place for prevention and support -
- Presented to GPAC for full review and scrutiny 26/04/2021. -
- Strategic Assessment -Our strategic assessment was refreshed in March 2021. Although not published externally due to the sensitive nature of its contents, the findings of the SA were used in the development of the Community Safety Strategy outlined in action 1), and it continues to be the basis for evidence led decision making across the Croydon Safer Partnership.
- The Council's domestic violence conducts annual refresh of their own specific strategy and work programme -
- Action plans for the Council's Domestic Abuse Support Service (DASS). -
- Active management of workloads and pressures on staff . -
- Commissioning of DRIVE service provider. -
- Community Safety Strategy -The new Community Safety Strategy is being agreed at cabinet on the 15th November 2021, and includes specific actions and updates to our approaches on domestic violence and efforts to reduce long term causes of violence.
- Contingency location identified if move is delayed. -
- Crime & Disorder Reduction Strategy. -
- Domestic Homicide Reviews -We have agreed the funding for our domestic Violence Homicide reviews as of WB 11 /11/2021, and this will be taking place in the coming months. Any actions resulting of these will be captured in an ongoing partnership action plan, and they will be quality reviewed by the Home Office as per protocol .
- Family Justice Centre -Advocates for domestic abuse sufferers. White Ribbon Borough and petition.

- FJC team working with victims and putting in place new advocacy measures -
 - High number of referrals for MARAC (VAWG pan London) -We will be developing a VAWG Strategy
- The Police will increase their presence in Town Centres across London
 MARAC's will continue to be held weekly to manage the volume
 Secured MOPAC funding for 2 additional IDVA's to assist in managing MARAC capacity and support our mental health and childrens services .

Target date 31/5/22....

- MARAC and DAPP processes in place. -Occurring weekly to manage increased referral volume.
- Plans in place for prevention and support -
- Presented to GPAC for full review and scrutiny 26/04/2021. -
- Strategic Assessment -Our strategic assessment was refreshed in March 2021. Although not published externally due to the sensitive nature of its contents, the findings of the SA were used in the development of the Community Safety Strategy outlined in action 1), and it continues to be the basis for evidence led decision making across the Croydon Safer Partnership.
- The Council's domestic violence conducts annual refresh of their own specific strategy and work programme -
- The work of the Family Justice Centre. -
- Working with the Police and other public agencies to increase referrals . -

Future Controls

Review Date

- -Completion of Croydon's VAWG strategy – end of 2022
- Annual Strategic Assessment The Council's annual strategic assessment will be published this will provide an evidence base to council practitioners and partners to better understand prevalence and types of domestic abuse across the borough.
- Community Safety Strategy - Safer Croydon Partnership Council will lead on the development of a new Community Safety Strategy for the Safer Croydon Partnership. Given our high and rising rates of domestic abuse it is likely to be a central area of focus.
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