

## Appendix 1 Risk Register New Layout

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
CDS0043  Golland, Paul	<ul style="list-style-type: none"> <li>• Public Switched Telephone Network switch off is happening in December 2025.</li> <li>• This switch-off will mean any device that uses the copper network to transmit data, including traditional phones and connected devices, will stop working, unless they are adapted or upgraded.</li> <li>• This applies to a wide range of council services, from lifts and entry systems, to care line, street lighting, traffic lights, to our payment processes. The scope of analogue technology still used by us may be significant.</li> <li>• Government has adopted a hands-off approach and has let operators lead the switch off. There is no UK wide approach being recommended to councils or service providers, and no national public information campaign planned to inform people about the switch off.</li> <li>• Risk – PSTN/ ISDN lines being switched off. Also 3G network being retired which needs to be considered within this issue due to the scale.                             <ul style="list-style-type: none"> <li>o Large programme that will effect a number of services across the organisation - telephones (not corp system), elevators, council housing, alarm systems.</li> <li>o Full scale of problem is unknown until further discovery is undertaken.</li> <li>o Fixed date is fixed December 2025</li> <li>o Will effect vulnerable individuals care systems</li> <li>o Currently no budget allocated to address, other councils planning for costs between £5-10m</li> <li>o National change and therefore will likely be competition over resources.</li> </ul> </li> </ul> <p>Risk added 31.08.2023</p>	<ul style="list-style-type: none"> <li>• In practice, this could mean that tower blocks are left with faulty lifts or unsecure entry systems; vulnerable telecare users could be left without help in an emergency, and traffic could come to a standstill.</li> <li>Service disruptions could also result in high costs, with expensive emergency repairs being carried out to retrospectively rectify issues.</li> <li>There is also a trading standards issue of retailing products that will become obsolete without notice.</li> <li>Fixed lines will be unavailable full impact currently unknown and needs to be investigated as will have an impact to vulnerable individuals, council housing, alarm systems and elevators may all stop working.</li> </ul> <p>Until we have assessed our services for this impact we cannot tell what the impact is.</p>	Golland, Paul  Last Review: 22/01/2024 Last Amended : 22/01/2024 14:08:12	5	5	25	5	5	25

<b>Existing Controls</b>
- -

<b>Future Controls</b>	<b>Implementation Date:</b>
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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 challenging environment for town centre development. The Whitgift redevelopment was removed from the Unibail development pipeline in Feb 20 and there is no date for the redevelopment to commence. In April 2023 Unibail bought out Hammerson's share of the 50/50 Croydon Limited Partnership. The implications of this in respect of a development programme, the ambition, quantum of inward investment, the existing Indemnity with the Council and related due diligence needs to be urgently understood from Unibail. The Whitgift CPO has now expired but still requires claims to be settled.	<ul style="list-style-type: none"> <li>Major economic, regeneration and social impact on the vitality and viability of the Town Centre and North End</li> <li>Political and media scrutiny</li> </ul>	Cheesbrough, Heather  Last Review: 05/03/2024 Last Amended : 05/03/2024 12:46:25	5	5	25	4	5	20

#### Existing Controls

- Agree with Unibail a series of remedies to offset non-delivery of the scheme -envisaged by the ILTA to provide the opportunity for short to medium term viability of the Town Centre and North End . Whilst also setting a programme for the phased redevelopment of the Whitgift in the medium to long term.
- Communication channels between politicians and officers with Unibail remain open and productive . -
- LBC to continue to press Unibail for a robust Meanwhile and Management Strategy to maintain footfall -with monthly meetings to exchange enquiries/contacts and proposals
- Officers and their consultant team seek to hold Unibail to account to manage the remaining CPO expiry process . -
- Refreshed due diligence around Unibail and Parent Company Guarantees as set out in the ILTA -Due diligence around CLP and Parent Company Guarantees was undertaken c .10 -13 years ago. This should be refreshed in the light of the passage of time and the recent buyout of Hammerson shares, which sees all liability now with Unibail.
- Regular communication with the Whitgift Foundation -The Foundation is the freeholder of the majority of the site.
- Regular meetings at strategic and operational levels with Unibail to maintain dialogue between partners. -
- Regular meetings of the Mayor's Advisory Town Centre Board -to seek to collaborate and in partnership with stakeholders to support the regeneration of the town centre an dto seek to hold Unibail to account.
- Review amount of funds held within the CLP ESCROW Account -The ESCROW account holds funds to compensate claims arising from the CPO. This amount should be kept under review to reflect that over time some claims will fall away, are settled, or greater exposure is identified this sum should be reviewed.
- Robust record keeping and retention of professional advisor team who have been involved since the beginning of the project -
- The Council through its statutory powers - Local Planning Authority (LPA), CPO and land assembly, and as a Highway Authority. -
- The Indemnity Land Transfer Agreement (ILTA) sets out the responsibilities of the parties, penalties with. -timeframes, which will need to be complied with and will need to be actively managed.
- 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

#### Future Controls

- 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). ...

#### Implementation Date:

07/11/2025  
07/11/2023

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 due to historic borrowing totalling £1.6 billion and remains reliant on annual extraordinary central government support.....	<ul style="list-style-type: none"> <li>Do not meet terms and conditions set out by DLUHC in Capitalisation Direction Agreements.</li> <li>Inappropriate financial behaviour and practice.</li> <li>Political scrutiny applied at local and national level.</li> <li>Media interest and scrutiny at local and national level.</li> <li>Impact on reserves</li> <li>Further S114 notices in future</li> <li>Reputational damage.</li> <li>Not balancing 25/26 financial year and future years</li> </ul>	West, Jane  Last Review: 31/03/2024 Last Amended : 31/03/2024 14:58:30	5	5	25	5	5	25

**Existing Controls**

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

<b>Future Controls</b>	<b>Implementation Date:</b>
- Budget Working Group in place to programme manage the MTFS and budget setting process The Budget Working Group for 2024-25 will recommence in May 2024 focusing on the October 2024 MTFS Update and March 2025 Budget Setting Processes.	14/03/2025
- Work being undertaken with the Department for Levelling Up , Housing and Communities to balance future year budgets Fortnightly meetings are timetabled with DLUHC officers to review progress Two workshops have been held over the summer with DLUHC officers who are currently in discussion with Treasury officers DLUHC are aware of the timetable of the October 2023 MTFS report and the February/March 2024 Council Tax papers ....	11/03/2024

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
ASC0043  Robson, Simon	<p>Croydon Council are currently in a Section 75 partnership with SLaM to deliver an Integrated Adults Mental Health Service. Current risk identified- Potential breach of local authority Care Act Statutory responsibilities due to lack of evidenced currently available from SLaM of adult social care interventions. (Please note linked to risk ASC0033 owned by Simon Robson regarding AMP service).</p> <p>This is placing increased pressure on alternative social work teams where vulnerable residents are not able to get their care act needs met and is resulting in some people's recovery being delayed due to interventions not taking place in a timely manner. Alternative routes to support individuals could also be more costly placing pressure on existing budgets.</p>	<p>Non compliance with Care Act statutory requirements Reputational risk Vulnerable residents not receiving interventions or assessment they are entitled to Increased costs and resources</p>	<p>Robson, Simon</p> <p>Last Review: 27/02/2024 Last Amended : 14/03/2024 20:20:26</p>	4	5	20	4	2	8

**Existing Controls**

- A Section 75 Review project group has been established and have been meeting fortnightly since the 13th June 2023. - The project group is made up of senior staff from SLaM and Croydon Council. The group are working to establish ways to evidence adult social care interventions and improve current pathways to ensure access to the service is equitable. Options appraisal for service delivery model scheduled to come to DMT in December. AMcP has agreed to bring in a MH S75 specialist from the LGA. This has been informed from the findings of the Peer Challenge.

- Adult Mental Health Social Care Placement and Reviews Plan in place - To improve Adult Social Care statutory functions in terms of assessments , reviews, placements and packages of care.

**Future Controls**

- Complete S75 Agreement Review and implement Agreed Delivery Model and Framework. Effective monitoring and management of the agreement if the service remains as an integrated function. **Implementation Date:** 31/03/2024

Alternative delivery model is currently being sought.

- Croydon Adult Mental Health Social Care Quality Assurance Plan/Mental Health Monthly Performance Framework: Developed to implement, monitor and evaluate Adult Social Care interventions in Adult Integrated Mental Health Service – in progress. **Implementation Date:** 31/03/2024

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
ASCI0019 Byrne, Bianca	<p>It has been identified that information held in Controcc and LAS relating to placement name, provider name and parent organisation is not accurate in one or more fields.</p> <p>The risks are identified as follows –</p> <ul style="list-style-type: none"> <li>Information in the care management system (LAS) maybe out of date – this means it does not reflect the proper or current naming conventions of care homes or providers where placements are made. In some cases the name of the care home is not recorded (except buried in case notes or as part of an address field) because a company name has been loaded as a care home (and that company may no longer exist).</li> <li>In the event of a care home or provider level safeguarding concern or a planned or unplanned exit from the market of a provider it is difficult to be sure how many people are placed in each location or with each provider</li> <li>The Council does not have proper commerical oversight on circa £100m of expenditure on Adult Social Care placements – i.e. the Council can not properly identify the ownership of locations where it makes placements without a significant amount of manual reconciliation with the CQC database. This makes it difficult to carry out it's normal business of commercial conversations, inflation uplifts and market oversight ( a Care Act Duty) as the Council can not say that they spend £Xm with Y provider relating to Z placements with any level of confidence. The Council often also does not know which provider companies are part of which larger corporate group without relying on manual research</li> <li>There is a risk relating to the forthcoming CQC Assurance process , relating to market oversight</li> <li>There is a risk to the forthcoming Delivery Partner Diagnostic – as the data quality identified in this risk template on LAS and Controcc is so poor</li> <li>Unable to make changes to allow the system to properly report which will help the new Delivery Partner and the delivery of Medium Term Financial Strategy savings.</li> </ul>	<ul style="list-style-type: none"> <li>There is a potential reputational/legal impact to the Council for failing to identify that people are placed in services with serious safeguarding concerns or failing to identify where an individual is placed if a safeguarding should arise.</li> <li>There is an impact on the Council being able to discharge it's Care Act Duty for market oversight – because it does not properly understand the make up of the market it purchases care from in a systemic way</li> <li>There is an impact on the Council in commercial negotiations and conversations around the cost of care – because it does not properly understand the make up of the market it purchases care from in a systemic way</li> <li>The Council can not further develop it's Business Intelligence reporting on £100m of spend as the source information is incorrect</li> <li>There is an impact on the Council if the CQC publishes an adverse finding relating to Market Oversight</li> <li>There is an impact on the future delivery of the MTFs if the Delivery Partner diagnostic is impeded by poor data quality</li> </ul>	Byrne, Bianca  Last Review: 27/02/2024 Last Amended : 27/02/2024 12:13:14	4	5	20	2	2	4

**Existing Controls**

- CDS to allocate project resource to resolve parent company and location issue -
- Correct LAS and Controcc to reflect current naming conventions – including recording CQC Location ID on LAS -
- Dedicate expert resource required to fix issues and look at long term solutions in light of the above and other data issues -
- LAS/Controcc – for updating placement/provider names - None -For provider/ownership – periodic manual reconciliation with data published by CQC to inform the Head of Placement & Brokerage plus shared knowledge amongst individual members of staff

<b>Future Controls</b>	<b>Implementation Date:</b>
- Agree a new process for setting up new placements to ensure consistency (and then include in monthly reconciliation)	31/03/2024
- Carry out a monthly reconciliation to the CQC data base to identify any locations with changed naming conventioins, and updat	31/03/2024

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
ASCI0022  Byrne, Bianca	The quality of data, performance recording and insight impacts on operational and strategic oversight and service delivery.	Poor outcome from CQC assurance 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.	Byrne, Bianca  Last Review: 27/02/2024 Last Amended : 13/03/2024 16:17:33	4	5	20	4	4	16

**Existing Controls**

- Annual performance update to Scrutiny Health and Social Care Sub-Committee -Following publication of the 2023 Use of Resources report (Nov 2023) and the ASCOF report (Dec 2023) aligned with the performance targets set out in the Exit Strategy and Mayor's Business Plan, the Directorate will showcase to Scrutiny it's current performance position and relevant action plans where improvement is required.
- Change Control Panel in place -Panel ToR have been reviewed and updated to make more robust.  
Chairing of Board now the responsibility of the Directorate  
Meetings held more frequently - fortnightly.  
Review of all change requests must be managed by quorate group within the Panel
- Children and Adult Systems Board in progress -
- CQC Data Workstream in place -
- Data cleansing project underway -Funding for dedicated Data Cleansing Officers has been secured and recruitment is currently underway .  
LAS Refresh training underway from Feb 24 will provide greater understanding and knowledge of the system with a primary aim of improving data being input increasing quality moving forward.
- Data review through monthly Performance Board -A revised Board forward plan will now focus on preparation for statutory returns , monthly reporting of the Mayor's KPIs, the quarterly submission of the new client level data return. The Board will also monitor related data and improvement performance plans.
- Development of reporting BI Dashboards with Performance team to support all levels of staff -
- To finalise a systems and performance framework and governance structure for the directorate . -
- Review of strategic performance and business systems requirements initiated; findings along with Use of Resources (published) and ASCOF (publication 07 Dec 2023); to inform delivery partner diagnostic.
- Outcome will be a published Systems and Performance framework and revised governance process for the Directorate.
- Weekly task tray review in place -

**Future Controls**

- Adult Strategic Systems Service Manager to be appointed ...
- Principal Social Worker and Head of Service Action Plan To improve quality of recording consistency of data capture , monitored through supervision.  
Series of meetings with HoS in the diary to review issues and areas around data cleansing.  
Identification of issues and associated mitigations and target dates for completion.  
Tracking of data cleansing performance .  
Dedicated data cleansers being recruited.

**Implementation Date:**

31/01/2024  
31/03/2024

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.	<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: 22/01/2024 Last Amended : 22/01/2024 11:45:54	5	4	20	5	2	10

**Existing Controls**

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

**Future Controls**

- Create dashboard to provide RAG based breakdown of 'failure concerns' by system Create dashboard to provide RAG based breakdown of 'failure concerns' by system (part of systems governance measures agreed by DICB)

**Implementation Date:**

31/08/2024

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....	<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: 29/01/2024 Last Amended : 20/03/2024 16:35:59	5	4	20	5	3	15

**Existing Controls**

- Ongoing engagement with staff continuing co-creation approach supporting culture change. -
- Reed Learning has been selected and appointed for delivering the key elements of the - People and Cultural Transformation Strategy and actions which aims to ensure the workforce is transformation ready and supports sustainable culture change. Priority areas of delivery to support the PCTS will include:  
Leadership and management development (including people management skills)  
Customer experience development  
Staff survey and actions  
Staff Conference
- The new Appraisal System is in place to ensure simplicity of process . A completion measurement tool is to be -implemented via SharePoint to determine compliance rates.

<b>Future Controls</b>	<b>Implementation Date:</b>
- Continue to utilise co-creation as a means of involving and engaging the workforce to enable effective culture change . Implementation date 31/03/2026	31/03/2026
- Staff survey roll out (April 2024) and cultural audits planned for 2024/25 to measure the impact of these initiatives on driving culture change and workforce improvements.	31/03/2025

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
EDCIP0003	Displaced People (Governance and Strategy)	- Lack of access to housing, essential health and education services - Increase in physical and mental health concerns - Increased demand on local health, ASC and CSC services - Increase in homelessness - Increase in social tensions, impact on community cohesion - Increase in people with NRPF and destitute if asylum applications refused	Crichlow, Kerry	4	5	20	4	5	20
Crichlow, Kerry	The cross cutting nature of the impact and additional burden to the council in relation to asylum seeking and displaced people requires a whole council response, and governance oversight. The Streamlined Application Process (SAP) and Croydon's share of people placed in dispersed accommodation will place additional burden on services. Currently no formal way of identifying and tracking this cohort to be able to resource and plan. In addition hosting arrangements under the Homes for Ukraine Scheme are also coming to an end leaving Ukrainian refugees seeking accommodation. The impact of these changes will place further pressure on the Councils capacity to provide housing to vulnerable residents. There will also be pressure from the Government Afghan dispersal scheme which will lead to more homelessness pressures. The Home Office is now targeting Best Western Hotel and giving people leave to remain. The Council have no funding for this. There are over 500 households involved here.  The council and the service may come under pressure and an increase in homelessness, extra pressure on temporary accommodation and ultimately the general fund. At present demand cannot be predicted and this risk needs to be regularly reviewed.		Last Review: 26/02/2024 Last Amended : 04/03/2024 10:15:43						

**Existing Controls**

- Develop a cross borough approach to strengthen Croydon's ability to influence government policy with regard to Asylum Seekers. -- engage and lobby through London Councils meetings e.g. CELC, ALDCS and the Strategic Migration Partnership to set out Croydon's case.
- convene cross borough meetings at senior officer level to build strong joint narratives .
- test the appetite to establish cross borough engagement with the Home Office and accommodation provider .
- Develop and implement robust tracking of the outcome of refugees and displaced people's contacts with the council - build on the initial spreadsheet developed for use across Access Croydon establish a task and finish group to plan how to embed tracking into BAU
- develop, test and implement a tracking system that builds o existing IT systems in Access Croydon , Housing, ASC and CSC
- Establish a Multi-Agency Forum (MAF) around Queens Road hotel -MAF established from January 2024 as a designated body to oversee operational practice at Home Office commissioned contingency hotels Home Office, Clear Springs Ready Homes, LA and NHS senior representatives meet on a monthly basis to discuss , escalate and resolve issues of concern
- Escalations from the joint Safeguarding Assurance meeting and other partnership forums are escalated to the MAF f
- Understanding of the burden to the Council and Council partners -- establish common understanding of the data with regard to burden on services with council partners, health and education
- utilise the available grant funding to plan for pressures across the system,
- work with the partnership including VCS, education and Health to identify provision which will support integration locally with light touch support
- establish effective operational links with housing and NRPF services providing informed coordinated approaches
- Whole-system approach to identify and mitigate risks -Accommodation for vulnerable people programme board established attended by all Corporate Directors, NHS and finance leads to co-ordinate cross-council working

**Future Controls**

- develop and implement proactive support for residents to enter and sustain tenancies in the PRS secure agreement to a grant- funded offer for refugees from Ukraine and newly-recognised refugees
- commission input rom VCFS organisations working in contingency hotels and align the LBC teams' work to signpost and support people into PRS accommodation
- develop a time-bound support offer to sustain tenancies, identify difficulties at the earliest point and problem-solve solutions where possible

**Implementation Date:**

15/04/2024

- Work across directorates to develop priorities for HfU and Asylum Seekers Grant spend to prevent homelessness - work closely with the homelessness team to align homelessness prevention grant spend for Ukrainian and Afghan refugees .

31/05/2024

- secure dedicated and specialist capacity to provide housing options advice to all newly-recognised refugees who present for a service.
- ensure additional activity that can be grant funded is identified and additional spend mitigated
- maintain an accurate spend plan to allocate grant funding to mitigate homelessness where possible.
- develop robust financial forecasting to ensure this additional activity does not present an additional burden on the general fund

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
EHSCSC0017  Madden, Roisin	Gaps in Statutory Social Work Capacity - Family Assessment Service and Social Work with Families Service -The proportion of social workers holding unacceptably high caseloads remains a concern, most vacancies are covered by locum staff.  Risk generated 1/6/2021	Caseloads above acceptable levels reducing the quality and timeliness of social work assessments and interventions; increased demand on statutory services through either repeat assessments or the need to intervene through a child in need or child protection plan. Rising costs as more complex interventions are required for children and increased demand on services. Impact on retention of social workers as staff reference workload as reasons for leaving Croydon. Ofsted evaluation of practice impacting on the reputation of the council, impacting on retention and recruitment.	Madden, Roisin  Last Review: 27/02/2024 Last Amended : 18/03/2024 22:58:08	4	5	20	4	4	16

**Existing Controls**

- Development of MASH Dashboard in Power BI -Enabling real time analysis of workflow in the Multi Agency Safeguarding Hub will support more effective application of resource to respond to requests for help from Children's Social Care, directing help from the partnership and thereby managing the demand on case- holding practitioners in the Family Assessment Service.
  - Establishment increased by 1 SW Team in FAS and 1 in SWWF -Permanent increase in the staffing establishment of the Family Assessment Service and the Social Work with Families Service in response to increased demand for statutory services from Croydon Children's Social Care
  - Implement new duty system to change the flow of incoming work -Changing the pattern of allocating work from eight weekly to 4 weekly to allow more even spread of new work providing a graduated caseload of potential maximum end dates for assessments. This aids the effectiveness of assessment and intervention during the assessment period .
  - Practice Improvement Consultant capacity for Family Assessment Service -A dedicated Practice Improvement Consultant has been recruited for the service to address the issues with the quality of social work practice arising from and contributing to rising caseloads in the service. This capacity will strengthen the confidence of practice ensuring that thresholds are applied appropriately ensuring that the right services are provided to the right children at the right time. Caseloads will gradually reduce to an acceptable level over the next six months.
  - Procurement of an 'Outside London Pledge' team of agency workers -The procurement of a team of social workers, outside the Memorandum of Understanding as a last resort in light of the lack of agency staff available through the MOU London Pledge and standard Adecco framework . This has been enacted as of 1st August to provide additional capacity in Social Work with Families
  - Recruitment of additional locum staff to cover absences due to sickness -Spend Control panel agreement has been given on a case by case basis for additional staff both qualified social workers , family support workers and additional SW Managers to be brought in via the agency framework to address gaps caused by sickness absence.
  - Redesign of Services within Access , Support & Intervention to manage demand more effectively to reduce rise in caseloads -Transformation work in Croydon's Front Door for Children's Services is underway to streamline responses to incoming referrals, provide greater focus on early help provision, utilising the MASH process more often to increase partner involvement in the assessment of risk.
- Re-design of the teams in MASH; Family Assessment Service; Family Solutions Service & Young Croydon increase the level of management support to practitioners & introduce Snr Practitioner roles to support retention of staff in case-holding roles.

Future Controls	Implementation Date:
- Implement closer working between Family Assessment Teams and the Family Solutions Service The Family Solutions Service works with targeted early help interventions and these services can be provided to families within the assessment period, a change in the model of work is required for this to occur. This needs to be applied during April with full implementation by the end of May 2024	31/05/2024
- Team Manager Practice Development workshops Provide focused practice development workshops led by the Improvement Consultant to improve the quality of management oversight of children's needs in the service	08/04/2024
- test test	10/06/2024

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
EHSCS0019  Madden, Roisin	Housing options for care experienced young people are insufficient in quality and availability to meet the expected standards as set out in the statutory guidance for corporate parenting and as assessed through the Ofsted ILACS framework.	Care experienced young people are unable to live independently when they are ready to do so. Their independence is delayed through lack of availability of suitable housing pathways. Increased costs to the council through maintaining LA care placements beyond the time with the young adult needs them. Poor outcome in a regulatory inspection.	Madden, Roisin  Last Review: 30/03/2024 Last Amended : 30/03/2024 14:19:19	4	5	20	4	4	16

**Existing Controls**

- Corporate Parenting Transformation Programme Housing workstream -The Housing workstream of the corporate parenting transformation program contains specific projects to improve the range and quality of housing pathways for care experienced young people, include the quality of response to housing needs, reduce the likelihood of care experienced young people facing homelessness.

Future Controls	Implementation Date:
- Co-located Housing, Benefits and Support Team recruited, inducted. A co-located team of staff with expertise in Housing, Benefit entitlements and support to achieve and maintain safe independent living will be created to meet the needs of Croydon's Care Experienced young people.	31/07/2024
- Create and embed new housing pathways for CEYP Pathways to stable appropriate accommodation for Care Experienced young people need to be clear , accessible and fully understood by all concerned	31/12/2024
- Create and implement joint housing/csc panel Developing a panel of staff from Housing and Children Social Care to consider the housing needs of young people who are care experienced to ensure the right pathway to their achievement of stable safe homes is identified and delivered in line with the needs of the young person.	30/04/2024
- Develop a joint DWP/Croydon Protocol Creating a clear protocol of work between Croydon Council and the Department of Work & Pensions is agreed and implemented to ensure care experienced young people have access to welfare benefits to support their independence, safety and wellbeing.	31/07/2024
- Develop and implement pre tenancy training and post tenancy agreement support and services To enable care experienced young people to manage a tenancy there needs to be accessible training provided before tenancies are provided, and post tenancy support services and plans.	31/07/2024
- Establish a Local House project in Croydon A partnership with the House Project will be launched to support young people moving successfully into their stable long term home .	30/11/2024
- Manage legacy temporary accommodation move on Joint work with Housing to identify the needs of care experienced young people who are living in short term accommodation provided by the council that is identified as temporary accommodation in housing legislation.	31/07/2024

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
EHSC0020 Madden, Roisin	Homeless 16 & 17 year old children are not provided with a joint assessment by Housing and Children's Services when presenting to Croydon Council and housing pathways are insufficient to meet need as required under Children Act 1989 and as evaluated through the Ofsted ILACS framework.	Children's needs for housing and/or accommodation via Children Act Sec 20 are unmet or delayed leading to risk of harm. Poor inspection outcome	Madden, Roisin  Last Review:  Last Amended : 18/03/2024 11:40:14	4	5	20	4	3	12

**Existing Controls**

- CSC & Housing Joint Housing Protocol -This control measure is jointly owned by Housing & Children's Social Care Directors as it is a joint protocol. The protocol needs to be shared widely in CSC and Housing divisions to ensure all relevant staff understand the content and application .

**Future Controls**

- Housing Officer capacity available to undertake joint housing assessments Housing officer capacity needs to be available throughout the working day and beyond where a child presents by 5pm daily.

**Implementation Date:**  
01/03/2024

Risk Ref	Risk Scenario		Assigned To	Current			Future Risk Rating		
	Risk	Impact		Impact	L'hood	Total	Impact	L'hood	Total
FIR0062  Bannin, Allister	Funding levels provided through the Government Grant for future financial years may be significantly lower than anticipated post the next general election resulting in considerable savings being required to balance the Council's Medium Term Financial Strategy.	<ul style="list-style-type: none"> <li>• Service disruptions or services ceased.</li> <li>• Key Mayor's Business Plan and corporate priorities 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: 05/03/2024 Last Amended : 05/03/2024 10:30:12	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.

**Implementation 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 pressures and rising interest rates increasing the financial demand on the council for services.	Service, financial, reputational, legal and people dimensions to the risk.	Bannin, Allister  Last Review: 05/03/2024 Last Amended : 05/03/2024 10:31:13	5	4	20	4	4	16

**Existing Controls**

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

**Future Controls**

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**Implementation Date:**

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
RCS0039 West, Jane	Delays in the external audits of the 2020-21, 2021-22 and now 2022-23 accounts could be masking errors in the accounts and therefore the current financial position of the Council is not certain. Work has been completed in relation to the accounting treatment of Croydon Affordable Homes and Croydon Affordable Tenures, corrections to HRA recharges from the General Fund and a necessary increase in the Provision for Bad Debt in relation to the 2019-20 accounts. The updated 2019-20 accounts are on the Council's website and have been shared with the Audit and Governance Committee. The 2019-20 accounts balance with a zero General Fund Reserve. The external auditors, Grant Thornton, have recently issued their Audit Findings Report for 2019-20 in which they reported a Disclaimed Opinion to the Audit and Governance Committee on 14 March 2024 due to the Kroll report still being reviewed by the police. The negative Direct Schools Grant reserve should be eliminated by additional grant from the Department for Education and Skills through the Safety Valve process. The grant will be phased in as the Special Educational Needs agreed Safety Valve plan is delivered. A related risk is that the government's response to national delays in external audit work curtails the opportunity to fully complete the external audit work required by imposing a backstop date beyond which no further audit work can be executed. The government recently consulted on a potential backstop date of 30 September 2024 which would mean that as a minimum the 2021-22 and 2022-23 accounts would not be audited.	<ul style="list-style-type: none"> <li>• Potentially qualified accounts provided in respect of 2020-21, 2021-22 and 2022-23</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 losses.</li> <li>• Reputational damage.</li> <li>• Potential investigation of historic financial practices.</li> <li>• Impact on reserves</li> <li>• Continuation of Disclaimed Opinions to the accounts</li> </ul>	West, Jane  Last Review: 31/03/2024 Last Amended : 31/03/2024 14:57:22	4	5	20	3	4	12

**Existing Controls**

- Regular meetings with Grant Thornton and corporate finance team to monitor progress of audit -Agreement to a cycle of six monthly external audits, subject to exemption from the backstop

**Future Controls**

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

**Implementation Date:**  
31/03/2025

Risk Scenario			Current			Future Risk Rating			
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
TRA0003 Sharon Godman	The Transformation Programme is not sufficiently ambitious enough , with insufficient change and savings.....	The Council's aspiration to manage its finances and transform the organisation may not be realised The Council continues to be subject to intervention for a longer period The Council could be subject to a further level of government intervention The Council is unable to restore its reputation and trust of the residents of Croydon	Godman, Sharon  Last Review: 05/02/2024 Last Amended : 20/03/2024 14:26:21	5	4	20	5	3	15

**Existing Controls**

- Development of a pipeline of additional substantial programmes/projects -Existing programme largely focused on delivering 23-24 savings in the budget. Programme needs to have a more substantial multi-year outlook.

Future Controls	Implementation Date:
- Cabinet report to be approved in March CMT transformation meeting monthly Alignment with MTFS Strategy supported by delivery plan and budget	13/04/2024
- Finance and Delivery Tracking via project assurance Key financials and delivery outcome and timeline tracking introduced with output reflected in programme reporting .....	22/05/2024
- Review of the programme Programme review to rationalise and consolidate the programme. Conclusion to propose a revised approach.....	28/05/2024
- Risk workshop with CMT to be rescheduled before the end of March 24 . Cabinet to review and approve transformation programme	01/04/2024

Risk Scenario				Current			Future Risk Rating		
Risk Ref	Risk	Impact	Assigned To	Impact	L'hood	Total	Impact	L'hood	Total
VRN0057  Aspinall, Kristian	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	Aspinall, Kristian  Last Review: 05/03/2024 Last Amended : 05/03/2024 10:40:48	5	4	20	5	4	20

**Existing Controls**

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

<b>Future Controls</b>	<b>Implementation Date:</b>
- Project resource to be identified to lead on this as a discrete time limited project	02/10/2023
- Recommendation report to CMT in June 2024 Following the time limited project, proposal to be brought in June with options for relief. Test	28/08/2023