

Appendix 1: Corporate Risk Register Red Risks

Risk Ref	Risk Scenario		Exec Director	Existing Controls	Current Risk Rating			Future Controls	Future Risk Rating		
	Risk	Impact			Impact	L'hood	Total		Impact	L'hood	Total
EHSCSC0001 Segurola, Philip	<p>Despite a stabilisation in the number of unaccompanied asylum seeking children over the last 18 months, the number remains significantly higher than the national average. Additionally, LB Croydon plays a key role in supporting the National Transfer Scheme, though is not in control of that Scheme. Additionally a separate scheme, the Pan London Protocol supports the distribution of UASC across London. Currently 28 of the 32 London Boroughs have more UASC than the accepted National Transfer Scheme Threshold. The remainder are close to the threshold meaning that there is a risk that the protocol could collapse.</p> <p>The National Transfer Scheme is a voluntary scheme and Local Authorities nationally are not obliged to take UASC from the scheme into their care.</p> <p>Should either the National Transfer Scheme or the Pan London Protocol fail, the number of UASC in Croydon's care will rise significantly with a direct impact on Croydon's services generally and Children's services in particular and further budget pressures resulting.</p> <p>The relevant parts of the Immigration Act have not been enacted by Central Government.</p> <p>" There are additional risks arising from Government proposals for Dublin 3 family reunification's where children in EU states have siblings/parents in the UK"</p> <p>(Risk reviewed, amended and accepted at DLT 13/09/2018).</p>	<p>- Significant service and staff resources pressures, with pressures on placement supply in-house and in the independent sector, and pressures on school places and LAC health services.</p> <p>- Impact on Council revenue budgets as a result of insufficient funding, especially as the Home Office have failed to increase the funding rates for 18/19.</p>	Henderson, Robert Children Families & Education	<p>Continued work with the Association of London Directors of Children's Services to collectively support the National Transfer Scheme and the work of the Pan London Protocol.</p> <p>Continued work with the Home Office to ensure that only appropriate young people are placed.</p> <p>Emphasis on wider negotiation of fair funding arrangements for Croydon</p> <p>Financial implication / impact for 2018/19 financial year on-going scoping of financial risk / impact for each quarter, with 18/19 rates now confirmed.</p> <p>Implementation of the National Transfer Scheme</p> <p>Increased use of the rota to place young people in other boroughs</p>	5	5	25	<p>Further engagement with Home office and Association of Directors of Children Social Services</p> <p>Service redesign in accordance with Immigration Act requirements. Ongoing work to ensure compliance and ensure opportunities are utilised through a formal system for dispersing unaccompanied child migrants as introduced by central government.</p>	5	4	20

Risk Ref	Risk Scenario		Exec Director	Existing Controls	Current Risk Rating			Future Controls	Future Risk Rating		
	Risk	Impact			Impact	L'hood	Total		Impact	L'hood	Total
				The Council has held meetings with the Immigration Minister and others in Home Office. Ongoing correspondence, conversations and clarifications with Home Office taking place, but response is very slow.							
EHSC0012 Segurola, Philip	<p>The pace of change to achieve the improvement plan outcomes and the journey to a rating of 'Good' is too slow or not achieved, following the OFSTED inspection of 'Services for children in need of help and protection and children looked after and care leavers' which judged the Council's Children's Services as 'inadequate'.</p> <p>Furthermore there is an additional risk that OFSTED's quarterly monitoring visits report that children and families continue to receive an inadequate service or that management grip is weak and so children and young people are not effectively safeguarded.</p> <p>(Risk reviewed, amended and accepted at DLT 13/09/2018).</p>	<p>- Reputational damage, which has a severe impact on the Council's ability to recruit and retain high quality, skilled staff</p> <p>- Children and young people at risk of significant and serious harm, because children in need of help and protection and children looked after by the Local Authority do not have sufficiently robust care plans and services to meet their needs and keep them safe.</p> <p>- Financial cost of implementing wide ranging changes</p> <p>- Increased referrals to children's social care from across partners, leading to unacceptably high workloads, poor service and associated financial pressures.</p> <p>- Media scrutiny.</p> <p>- Political scrutiny and activity.</p>	Henderson, Robert Children Families & Education	<p>A strong programme management approach to preparations for monitoring visits is built upon an accurate and robust assessment of the quality of practice, areas that still need improvement and credible plans to tackle identified weaknesses.</p> <p>Additional £10.9M investment into base budget in 2018-19.</p> <p>CSCB currently ensuring the development of a partnership early help strategy and more robust partnership early help offer in place.</p> <p>Implementation of new early help programme</p> <p>Implementation of new early help programme - update presented to Cabinet 24/09/2018.</p>	5	5	25	New Director to be in place Jan 2019	5	3	15

Risk Ref	Risk Scenario		Exec Director	Existing Controls	Current Risk Rating			Future Controls	Future Risk Rating		
	Risk	Impact			Impact	L'hood	Total		Impact	L'hood	Total
				<p>Implementation of the improvement plan which includes priorities on the recruitment and retention of staff in the immediate and medium term. Improved performance management and quality assurance arrangements.</p> <p>Improvement Plan refreshed in November 2018 focusses on a small number of key priority areas, including recruitment and retention of staff, improving management grip, improving the quality of plans and planning, and creating the climate for good social work to flourish.</p> <p>Increased transformation funding made available in 18/19</p> <p>Independent chair of the Children's Improvement Board challenges performance and progress.</p> <p>Intensive Peer Support plans agreed with Camden Council, a children's services department rated 'good' and DFE accredited Partner in Practice.</p>							

Risk Ref	Risk Scenario		Exec Director	Existing Controls	Current Risk Rating			Future Controls	Future Risk Rating		
	Risk	Impact			Impact	L'hood	Total		Impact	L'hood	Total
				<p>Latest OFSTED Review published Nov 2018 demonstrates continued progress</p> <p>Locality based and preventative approach bringing results. Gateway model embedded with single point of contact approach</p> <p>Permanent Executive Director now in place</p> <p>Targeted increased capacity through dedicated interim teams to relieve the pressure of increased demand, reduce caseloads to manageable levels and ensure no child's needs are unmet.</p>							

Risk Ref	Risk Scenario		Exec Director	Existing Controls	Current Risk Rating			Future Controls	Future Risk Rating		
	Risk	Impact			Impact	L'hood	Total		Impact	L'hood	Total
RCSCFS0001 Simpson, Richard	<p>Demand/budget gap is not bridged without the need for additional cuts to services as the Council faces continued significant reductions in its grant funding, during the period 2018 to 2020 with future funding beyond 2019/20 remaining unknown pending the current ongoing fair funding review. These reductions are imposed whilst the Council experiences a continuous rising demand for service provision and growth in population. The results of the Children's Services OFSTED inspection (June / July 2017) places greater risk on Council budgets due to the need for greater investment in this service with over £10m having been invested in Children's Services in 2018/19.</p> <p>Quarter 1 (2018/19) year end forecast overspend is £2.599m. This includes £1.1m of costs relating to UASC, which the Home Office are still not engaging with Croydon to resolve. Costs could increase further if demand rises above expected volumes. Overspends will need to be funded from reserves reducing them.</p> <p>Risk entry reviewed, amended and accepted at DLT 13/09/2018).</p>	<p>- Insufficient resources may lead to inability to meet needs and political aspirations. Potential inability to meet statutory responsibilities in times of increasing demand through changing demographics, for example mental health services, older people's services, children's services and housing.</p> <p>- Damage to reputation and service risk.</p> <p>- Reduction in resources.</p> <p>- Erosion of reserves.</p> <p>- Risk of failure to balance Budget and failure to maintain capital investment strategy in infrastructure.</p> <p>(Strategic objective alignment: Enabling)</p>	Simpson, Richard Resources Department	<p>a. Corporate Plan aligned to MTFS to ensure priorities align with resources</p> <p>b. MTFS 2018/22 presented to cabinet (September 2018), setting out future budget requirements.</p> <p>c. Quarterly financial monitoring with additional controls in respect of Adult and Children Social care, where the high risk areas are monitored monthly.</p> <p>d. Regular monitoring of all reserves including Transformation Projects for both service delivery and financial savings.</p> <p>e. Developing 2019/20 budget in conjunction with MTFS assumptions, including a review of all savings and growth options presented to Cabinet and full council.</p> <p>f. Responded to the technical consultation regarding the Fair Funding Review.</p> <p>g. Continued implementation of the Children's Improvement Plan.</p>	5	5	25	<p>a. Continue to implement all Savings & Transformation projects to ensure delivery.</p> <p>b. Continued work on savings options with CLT / ELT and Cabinet for both the current year and future years.</p> <p>c. Focus on preventative measures and early intervention particularly with identified top high cost families</p> <p>d. Children's Social Care - continued implementation of The Improvement Plan.</p> <p>e. Adult Social Care - review of service delivery and review of all contracts.</p> <p>f. Regular review and refresh of MTFS including review of all fees and charges.</p> <p>g. Continued active engagement in fair funding review.</p> <p>h. Continued Home Office lobbying for fair UASC funding.</p> <p>i. Extending the Gateway & Family Link Service.</p>	5	4	20

Risk Ref	Risk Scenario		Exec Director	Existing Controls	Current Risk Rating			Future Controls	Future Risk Rating		
	Risk	Impact			Impact	L'hood	Total		Impact	L'hood	Total
				<p>h. SEN Transport - Continued review of service operating model to drive efficiencies. This includes the continued use of independent travel.</p> <p>i. Development of a 5 year financial model to continue to manage SEN Transport costs.</p> <p>j. Continued delivery of Gateway & Family Link Service.</p>				j. SEN Transport - development & implementation of full cost saving programme including policy changes where the Council has discretion.			
ASC0001 McPartland, Annette	<p>Social Care market supply disruption leading to market failure and inability to fulfil statutory requirements.</p> <p>Situation nationally has deteriorated so likelihood is very high. Market failure has become more common, increased by 82% nationally.</p> <p>Risk is jointly owned with Commissioning & Procurement (Jenny Beasley)</p> <p>(Risk reviewed at DMT 15/11/2018 - DMT request Exec Director confirm ownership with Director of C&P).</p>	<ul style="list-style-type: none"> - Reduction in choice. - Failure to meet service user needs. - Delayed discharge from hospital. - Increase budget pressure. - Reduced quality of provision. - Increase in safeguarding concerns. - Increase number of providers within the provider concerns process. - Increases in delays or overpayments to providers. - Increase pressure on all internal services. 	Van Dichele, Guy Health, Wellbeing & Adult Services	<ul style="list-style-type: none"> a. 2017/18 internal audit findings completed & implemented. b. Brokerage and Placements Quality Assurance. c. Inflation strategy in place to manage fees paid. d. Integrated Framework Agreement extension. e. Pan London provider concern's process managed by safeguarding team. f. Market management by Contract monitoring team. g. ADASS Pan London minimum standards programme adopted. h. One Croydon Alliance Commissioning strategy ongoing implementation. 	5	4	20	<ul style="list-style-type: none"> a. A joint micro commissioning and market management process for all Alliance partners. b. Refreshed Market position statement. c. Restructured contract & market management function with increased number of monitors. d. Bring Services 'in-house' where appropriate. e. Create more 'Supported Living' capacity. 	5	3	15

Risk Ref	Risk Scenario		Exec Director	Existing Controls	Current Risk Rating			Future Controls	Future Risk Rating		
	Risk	Impact			Impact	L'hood	Total		Impact	L'hood	Total
				<p>i. Right Cost of Care exercise by KPMG.</p> <p>j. Croydon Dynamic Purchasing and e-market system commissioned September 2018.</p>							
EHCS0007 Segurola, Philip	<p>Dependency in Children's services on interim resources and challenges of recruiting coupled with significant capacity and resourcing pressures and impact of service reorganisations results in lack of stable, high performing workforce. Risk of not achieving 'Good'.</p> <p>This is linked to risk ref: EHCS0012 (Risk reviewed, amended and accepted at DLT 13/09/2018).</p>	<p>- Managers and staff working excessive hours.</p> <p>- Loss of key members of staff and inability to recruit and retain good quality candidates for vacant posts and reduce reliance on agency personnel.</p> <p>- Poor decision making, performance and inability to deliver service transformation.</p>	Henderson, Robert Children Families & Education	<p>Further progress has been made in the conversion of locums to permanent staff as at Dec 2018</p> <p>Recruiting to vacancies: a detailed monthly analysis is identified by a workforce report. Recruitment campaigns are targeted to teams which identify unfilled vacancies and agency workers. Roles are advertised via Community Care which has a readership of social care professionals. In addition Croydon is attending a London recruitment event (September 2018).</p>	4	5	20	<p>Implement recruitment and retention policy: implementation of the recruitment & retention policy is underway which includes learning and development career pathways, retention payment for Social Workers in hard to fill teams with payment in 2 instalments. There is a strategic approach to recruitment & retention which including benchmarking against other Local authorities, analysing exit interview data as well as monitoring sickness absence and 1:1 supervisions.</p> <p>Work with HR to promote more strategic approach to recruitment Croydon experience significant difficulties recruiting and competing in London</p>	4	4	16

Risk Ref	Risk Scenario		Exec Director	Existing Controls	Current Risk Rating			Future Controls	Future Risk Rating		
	Risk	Impact			Impact	L'hood	Total		Impact	L'hood	Total
EHSC0010 Segurola, Philip	<p>Risk of exploitation of young people in the Borough particularly in relation to peer on peer and gang activities and children missing from home and care.</p> <p>(Risk reviewed, amended and accepted at DLT 13/09/2018).</p>	<p>- Children feeling and being unsafe/becoming victims or perpetrators of crime</p> <p>- Significant risk of harm to young people in the Borough through exploitation (sexual and criminal), being missing and/or trafficked or caught up in crime</p> <p>- Risk of harm to Croydon children placed away from Croydon without prevention, disruption and protection activity.</p>	<p>Henderson, Robert</p> <p>Children Families & Education</p>	<p>a. Choose Life campaign.</p> <p>b. Partnership working with the police and other agencies</p> <p>c. Strategy meetings for children who are missing or being exploited, weekly high risk missing meetings, strategic monthly missing panel and MACE (multi-agency exploitation panel).</p> <p>d. Focused work with our schools around gangs and County Lines.</p> <p>e. Investment in a data analyst to understand the underlying issues and themes emerging so targeted preventative working can be developed.</p> <p>f. Investment made in expanding the team to complete return home interviews.</p> <p>g. Much improved single performance and data report available now.</p> <p>h. Recently established an adolescent service within Children's Social Care incorporating the Working Gangs Team, Youth Offending Team and the Child Exploitation Team.</p>	5	4	20	<p>a. Greater awareness and robust actions by all partners.</p> <p>b. Restructured Child Exploitation and Missing approach in place and reporting to the Safeguarding Children Board.</p> <p>c. Robust and reliable data as well as children's feedback to be analysed on a regular basis (to include: increase in Return Home Interviews, less repeat missing children, realistic National Referral Mechanism (NRM) referral rate, realistic number of children tracked at risk of criminal and sexual exploitation and risks reducing).</p> <p>d. Work with other local authorities to reduce placements of vulnerable children in Croydon.</p> <p>e. Working with the Head of Service responsible for Community Safety to review overall strategy</p> <p>f. Implementation of the 'Glasgow Public Health' approach to managing violence.</p>	5	3	15

Risk Ref	Risk Scenario		Exec Director	Existing Controls	Current Risk Rating			Future Controls	Future Risk Rating		
	Risk	Impact			Impact	L'hood	Total		Impact	L'hood	Total
								g. The mayor's violence reduction unit expected to deliver further targeted services in this area.			