

Corporate Risk Register

| Risk Ref | Risk Scenario | | Exec Director | Existing Controls | Current | | | Future Controls | Future Risk Rating | | |
|------------------------------|---|---|---|--|---------|--------|-------|---|--------------------|--------|-------|
| | Risk | Impact | | | Impact | L'hood | Total | | Impact | L'hood | Total |
| EHCS0001 Pendry, Nick | <p>The number of unaccompanied asylum seeking children looked after by Croydon remains significantly higher than the national average leading to significant financial pressure on the Council.</p> <p>LB Croydon plays a key role in supporting the National Transfer Scheme, a voluntary arrangement between local authorities to disperse and settle children and young people across the UK. This scheme has not had the anticipated success. The Pan London Protocol is in operation. London authorities have co-operated over many years to support each other (although primarily Croydon) by voluntarily taking new presentations of 16 and 17 year old UASCs on a rota basis with an agreed threshold of 0.07%. Those authorities that have been above the 0.07% threshold have come off the rota. They do come back on when young people become 18 and they fall back beneath the threshold. However, the numbers have risen in the past year and the capacity has reduced across London. One authority has recently removed themselves from the rota.</p> <p>On the basis of the average number moved through the rota last year and the new capacity, we calculate it is very possible that the Rota will be full within the next few weeks. Croydon would then be responsible for all new presentations to Lunar House as a locally based service.</p> <ul style="list-style-type: none"> - This would mean an average additional intake of 38 young people per month (based on Jan-Dec 2018 figures). - This is on top of the under 16s already accommodated by Croydon who are made subject to the NTS . - The number of UASC in Croydon's care | <ul style="list-style-type: none"> - 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. - Impact on Council revenue budgets as a result of insufficient funding, especially as the Home Office have failed to increase the funding rates for 19/20. - NTS continues to fail (transfer scheme). - Funding deficit of £10.6m in 2018/19. - Forcast deficit for 2019/20 is £9.4m | Henderson, Robert Children Families & Education Services | <p>Continued work with the Association of London Directors of Children's Services and the Department for Education and Home Office 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>Establishment of a new Age Assessment Team, supported by the Controlling Migration Fund to fast track all age disputed cases.</p> <p>Financial implication / impact for 2019/20 financial year (£9.4m) on going scoping of financial risk / impact for each quarter.</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>LBC working with London Council's and the LGA to raise awareness of the specific UASC pressures facing 'Port of Entry' locations (such as Lunar House).</p> <p>Lobbying of the Home office and new minister taking place and will continue to take place until repsonse received.</p> <p>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 |

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| | <p>is likely to 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>Risk reviewed and accepted at DMT 08/08/2019 and presented to DLT 03/12/2019.</p> <p>(Risk generated 25/06/2018)</p> | | | <p>LBC negotiated with other London Borough's to increase their UASC scheme to 0.08%, which is providing some short term relief.</p> <p>Leader formally written to Immigration Minister (30/05/2019) to request urgent review of the daily rates for UASC LB Croydon receives (no increase for 2 years). Response received 27/06/2019 confirming that no additional funding will be provided.</p> <p>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.</p> | | | | | | | |

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| EYE0009 Davies, Shelley | <p>Increasing population with complex learning needs and parental expectations leads to rising demand and financial pressure on SEN fixed budgets including pressure on High Needs DSG budget.</p> <p>** The Spending Review (2019) has identified that additional funding of £5m and was included in the high needs DSG allocation. This partially off-sets the 'in-year' deficit' which is currently £5.6m giving a cumulative forecast deficit of £17.3m for 31st March 2020 **.</p> <p>Reviewed at DLT 03/12/2019. Financial details updated by Finance Manager (Education) 04/12/2019.</p> <p>(Risk generated 27/06/2017).</p> | <p>- Children and families do not receive the advice and support they would expect.</p> <p>- Increased costs due to tribunals and complaints leading to reduced reputation.</p> <p>- Inability to achieve outcomes for children and families in Croydon.</p> | <p>Henderson, Robert</p> <p>Children Families & Education Services</p> | <p>Continue to use Council Members / MP's to lobby Central Government for a review of the model that funds higher needs to reflect the actual demand for Croydon.</p> <p>Further senior management review of existing plans.</p> <p>High Needs Funding Review planned.</p> <p>Implement strategies for managing demand for more effective mainstream school placements.</p> <p>Implementation of SL DPS to reduce placement costs.</p> <p>Improved forecasting and reporting of demand led spend to manage overall budget position.</p> <p>Improved projections for school places.</p> <p>July 2019 5 yr deficit recovery plan submitted to DfE.</p> <p>Modelling of Locality Based Working & Staged Approach supporting mainstream schools meeting SEN needs.</p> | 5 | 5 | 25 | <p>0-25 SEND Strategy Implementation Plan to deliver change across the system – in five areas below. The SEND Strategy implementation plan Governance is through SEND Working Group; which reports into Children & Families Partnership Board.</p> <p>Early Identification and Intervention –improved HV assessment, identify needs, work with families early. Support for EY education providers, personalised inclusion funding until the end of EY Foundation Stage.</p> <p>Free School being constructed which will relieve pressure in spend in non-mainstream sector.</p> <p>Graduated response – right support, right time. Meeting needs locally in local schools at SEN Support level; reduced reliance on alternative education.</p> | 5 | 4 | 20 |

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| | | | | <p>New SEN strategy 2019 / 22 present to cabinet March 2019 following consultation. Plans to improve impact of service and measure to mitigate against cost.</p> <p>Provision of more Post 16 specialist placements in borough by Sept 2019 with a further 244 school placements to come on stream by Sept 2020.</p> | | | | <p>Joint Working – children's needs are met locally in Croydon (cost avoidance in inn sector), through co-ordinated and coherent pathways which are achieved through collaborative work with parents and YP; across education, health and care.</p> <p>Post 16 pathway development so that there are effective local education, care and health pathways to adulthood, and EHC Plans are caesed in timely way (currently 40% HNB spend is post 16).</p> <p>South London Partnership SEN Commissioning Programme for commissioning residential and day placements for children and young people with Special Education Needs.</p> <p>Utilisation of the additional funding allocated in the 2019 'Spending Review'.</p> <p>Workforce development – practitioners have the skills and knowledge to meet needs locally. Parents are confident.</p> | | | |

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| FIR0021 Taylor, Lisa | <p>Funding levels provided through the Government Grant are significantly lower than forecast or anticipated, resulting in severe limitations being placed on the Council's Medium Term Financial Strategy. (updated for spending review 04/09/2019).</p> <p>**There is great uncertainty in relation to the level of funding beyond 2020. Medium Term Financial Planning is taking place against a background of significant funding cuts for local government alongside government plans for major local government finance reforms and this uncertainty is making planning very difficult to manage. The Spending Review (2019) has offered hope with additional funding being allocated in Local Government next year. Until this has been allocated to Croydon we are planning on estimates that could change**.</p> <p>Reviewed at DMT 24/10/19 & DLT 05/11/2019.</p> <p>(Risk generated 27/06/2019).</p> | <ul style="list-style-type: none"> - Service disruptions. - Key manifesto / corporate objectives not achieved. - Resident dissatisfaction. - Media and political scrutiny. - Legal challenge and associated consequences. - Little time to strategically plan. | Harris-Baker, Jacqueline Resources Department / Corporate | <p>a. - Continuous monitoring / scrutiny of all budgets and commitments.</p> <p>b. 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 / Gateway Strategy) and exploitation of opportunities for working in collaboration with our partners.</p> <p>c. Diversification of organisational operating portfolio's (incl. asset investment / revenue generation opportunities.</p> <p>d. Continued maintenance of general 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.</p> <p>e. Continued lobbying with Home Office on several occasions for fair funding.</p> | 5 | 5 | 25 | <p>a. - Strategies being developed to promote and stimulate new growth opportunities.</p> <p>b. Continued focus / investigation into effective approaches to managing demand.</p> <p>c. Continued strategic approach to identifying efficiencies and savings through changes to the way the Council works e.g. exploiting new technology, consolidation of buildings and processes.</p> <p>d. Identification of new ways to strengthen the long term financial position through increasing income sources.</p> <p>e. Refresh of MTFs over summer / autumn 2019 re budget for 2020/21.</p> | 5 | 5 | 25 |

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| 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.</p> <p>Risk reviewed at DMT 07/11/2019.</p> <p>(Risk generated 24/08/2017)</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. | <p>Van Dichele, Guy</p> <p>Health, Wellbeing & Adult Services</p> | <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. i. Right Cost of Care exercise by KPMG. j. Croydon Dynamic Purchasing and e-market system commissioned September 2018. | 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. (enhance on case by case basis / review and ensure compatability) e. Creation of more 'Supported Living' capacity. f. PFI Homes Project to be reviewed. g. Reablement in South of borough - Review ability for provision within area. h. Insourcing is underway to help improve services to residents. | 5 | 3 | 15 |

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| ASC0012 McPartland, Annette | <p>Demand on social care exceeds available resources leading to the Council being unable to meet it's statutory responsibilities.</p> <p>**Non recurrent funding is being used to support budget(s)**</p> <p>Risk reviewed and escalated to RED at DMT 07/11/2019 --- owner to update risk entry to reflect escalated score status.</p> <p>(Risk generated 03/04/2017)</p> | <ul style="list-style-type: none"> - Unable to meet statutory responsibilities. - Financial loss. - Reputational damage. - Avoidable death or serious injury of older person under Council led care. | <p>Van Dichele, Guy</p> <p>Health, Wellbeing & Adult Services</p> | <p>3% precept for social care & Better Care Fund (BCF)</p> <p>Clients are provided with more support earlier through Gateway provision.</p> | 4 | 5 | 20 | <p>£1.3m investment through iBCF for Out of Hospital Business Case inc development of Discharge to Assess Model in 2017 with further £2m in 2018/19 and £2m in 19/20</p> <p>Awaiting Government's White paper (no due date given).</p> <p>Implementation of 'Localities Working' will allow greater levels of service provision and support.</p> <p>Implementation of Liquid Logic will ensure effective transition for client Case Management.</p> <p>Need to identify funding to replace BCF.</p> <p>Risk Mitigation Methodology.</p> | 4 | 3 | 12 |

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| EHSC0007 Pendry, Nick | <p>Dependency of Children's Services on interim resources. This includes the challenges of recruiting (particularly in Care Planning & Assessment Team) coupled with significant capacity and resourcing pressures and the impact of service reorganisations resulting in a lack of stable, high performing workforce.</p> <p>37% vacancy level (30/11/2019 - caseholding Social Workers) – this includes a significant adjustment to the establishment for financial year 2019/20 which is ensuring lower and manageable caseloads . Permanent recruitment of management roles (i.e. team manager and service manager) is ongoing and nearing targeted full complement of permanent managers (In the last 3 months (Sept-Nov) 17 Social Worker Managers have joined the Division).</p> <p>**It must be noted that the vacancy rate has remained high as the size of the teams has increased since the last Ofsted inspection in order to reduce caseloads. In the last 3 months (Sept-Nov) 30 Social worker have joined the Division which includes the 2019/20 Newly Qualified cohort.</p> <p>The reduction of caseloads and the injection of branding 'Croydon as a social care employer.</p> <p>This is linked to risk ref. EHSC0012</p> <p>Risk reviewed and amended at DLT 03/12/2019.</p> <p>(Risk generated 29/06/2018)</p> | <p>- Managers and staff working excessive hours / holding excessive caseloads..</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> | <p>Henderson, Robert</p> <p>Children Families & Education Services</p> | <p>Exit interview process has been reviewed and structured to incorporate Director involvement and the ability to identify crucial management information / data to mitigate high attrition rates.</p> <p>Further progress has been made in the conversion of locums to permanent staff - as at 28 June 2019, 23 locum staff had converted to permanently employed status.</p> <p>During the period 01/06/2018 to 31/05/2019 a total of 92 external staff were permanently recruited (of which 46 were social Workers).</p> <p>New co-hort of newly qualified Social Workers commenced May 2019.</p> | 5 | 4 | 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>Investigating Social Worker housing scheme.</p> <p>Newly qualified cohort (15 Social Worker's) joining October 2019.</p> <p>Reviewing benchmarking and 'welcome payment' for Care Planning & Assessment Teams.</p> <p>Work with HR to promote more strategic approach to recruitment Croydon experience significant difficulties recruiting and competing in London</p> | 5 | 3 | 15 |

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| | | | | <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 holding a series of 'Excellence in Practice' recruitment seminars. – latest event held 29/03/2019.</p> | | | | | | | |

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| EHSC0010 Pendry, Nick | <p>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 at DLT 03/12/2019.</p> <p>(Risk generated 20/02/2018)</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 Services</p> | <p>a. The Public Health Approach to Reducing Violence which provides the framework to deliver the council's commitment to reducing violence, including serious youth violence and knife crime, in the borough was adopted on the 10th June 2019.</p> <p>b. Partnership working with the police and other agencies</p> <p>c. Strategy meetings for children who are missing, Child Exploitation risk assessment and risk reduction plans, with risk management meetings introduced, MACE as strategic oversight (multi agency child 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. Analyst liaises with police and gangs analysts.</p> <p>f. Investment made in expanding the team to complete return home interviews.</p> | 5 | 4 | 20 | <p>a. Greater awareness and robust actions by all partners.</p> <p>b. 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>c. The Violence Reduction Network is taking a fundamentally different approach where all partners work together with communities to drive down violence and by preventing violence before it happens by focusing on the causes, as well as the impact of the offences. The plans include the development of trauma-based training for staff, the community and voluntary sectors, to enable people to identify and understand adverse childhood and adult experiences and ensure those who experience them are properly supported.</p> | 5 | 3 | 15 |

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| | | | | <p>g. Much improved single performance and data report available now.</p> <p>h. Adolescent Support Teams who work on statutory basis with adolescents where there is a risk outside of the home. Adolescent Services within Children's Social Care incorporate the Gangs Team, Youth Offending and Child Exploitation Team, along with two statutory social care teams for adolescents.</p> <p>i. Choose Life campaign.</p> <p>j. Panels have been realigned and Complex Adolescents Panel began on 5th June 2019 so children are only discussed in one forum. This will report into the Vulnerable Adolescent Workstream.</p> <p>k. Director of Violence Reduction Unit appointed - August 2019.</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> <p>g. The mayors violence reduction unit expected to deliver further targeted services in this area.</p> | | | |

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| | | | | <p>I. The Complex Adolescents Panel (CAP) is a weekly multi-agency panel with senior representatives from the police, health, CAMHS, Gateway, YOS, gangs, education in attendance. It is chaired by the Head of Adolescent Services. The panel oversees children who are being exposed to extra-familial harm such as going missing, being exploited or who are involved in offending behaviour. Social workers and team managers present cases and the panel share information and intelligence. Resources can be allocated and actions are agreed to manage the risk presented, this includes those of perpetrators. Croydon's MACE is incorporated into CAP and children who are being exploited are reviewed, dependent on level of risk ie high = monthly. This enables senior managers of all partner agencies to understand who are the most vulnerable children in the borough and the risks that they face. It enables management of those risks with multi-agency planning and reviewing.</p> | | | | | | | |

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| EHSC0012 Pendry, Nick | <p>The achievement of 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>Risk reviewed and accepted at DMT 08/08/2019 and preseted to DLT 03/12/2019.</p> <p>(Risk generated 19/12/2017)</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> | <p>Henderson, Robert</p> <p>Children Families & Education Services</p> | <p>Additional investment of £12m during 2019/20 in the base budget has resourced business support, learning and development and performance management, which create the conditions for good social work to flourish.</p> <p>July 2019 - Monitoring Report Outcomes presented. Postivie view from Ofsted were reported.</p> <p>Steady improvements in KPIs as reported to the Improvement Board indicate that the service improvement work is gaining traction, although the pace needs to speed up.</p> <p>Substantial engagement with staff has taken place across the whole department to plan and implement a locality working model across CFE, taking a risk-based approach to ensure this contributes to better services and improved outcomes for children.</p> | 5 | 4 | 20 | <p>Following the systemic practice training strengthened relationships will be built across children's services and schools, early years and voluntary sector providers to keep the journey of the child at the centre. Early help will continue to provide robust, effective support for families, expanding the offer so more cases step down from statutory services.</p> <p>Further develop locality based working as part of the transformation, bringing more services together around families and communities to make sure families get the right services at the right time.</p> <p>Further refine and implement transformation proposals that seek to shift resources to earlier help and prevention and so reduce the demand for costly, intrusive statutory services.</p> | 5 | 3 | 15 |

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| | | | | <p>Sustained focus on recruitment and retention has led to the recruitment of five permanent service managers from good and outstanding authorities, reduced staff churn and seen staff returning to work in Croydon.</p> <p>Systemic leadership training for all managers has started with CSLT and will be mandatory for all service and team managers to ensure all have the skills, knowledge and ability to provide high support and high challenge to staff to achieve the best outcomes for children and families.</p> <p>The Executive Director Children, Families and Education and Director of Early Help and Children's Social Care have analysed and evaluated the divisions strengths and weaknesses and translated these into a coherent set of sequenced priorities for action.</p> | | | | | | | |

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| EYE0003 Davies, Shelley | <p>As at the end of March 2019, there are 11 of our 50 maintained schools in deficit potentially leading to default or an increase in arrears. The total deficit amounts to £5.4m however two of the schools are in a loan arrangement with the LA.</p> <p>**It is noted that approximately 65% (£3.4m) of the deficit is attributable to two schools**.</p> <p>Reviewed at DLT 03/12/2019. Financial details updated by Finance Manager (Education) 04/12/2019.</p> <p>(Risk generated 08/08/2017).</p> | - Financial loss to LBC. | Henderson, Robert Children Families & Education Services | <p>Deficit schools are required to report financial outturn monthly.</p> <p>Regular update meetings with the Governing Body's / SLT's of schools with the highest levels of debt.</p> <p>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.</p> <p>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.</p> <p>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.</p> | 4 | 5 | 20 | <p>More enhanced benchmarking using tools currently under development with the DfE.</p> <p>The LA 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> | 4 | 5 | 20 |

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| EYE0008 Davies, Shelley | <p>That a 'Local Area (OFSTED) Inspection' could issue a letter detailing improvement requirements / concerns in respect of the SEND Service.</p> <p>** The SEND Service is one element of the Ofsted Inspection curriculum. LBC and the CCG have overall joint responsibility**.</p> <p>Risk reviewed at DMT 10/09/2019 and presented to DLT 03/12/2019 - owner to update.</p> <p>(Risk generated 05/01/2018).</p> | <ul style="list-style-type: none"> - Reputational damage - Government intervention. - Financial cost of implementing wide ranging changes - Legislative action arising. - Difficulty in recruiting and retaining experienced and effective workforce. - Media scrutiny. - Political scrutiny and activity. - Increased referrals into SEND service and associated financial pressures.AF to update -Judicial Review | <p>Henderson, Robert</p> <p>Children Families & Education Services</p> | <p>SEN Improvement Board established & meeting monthly to monitor SEN improvement plan and strategy.</p> | 4 | 5 | 20 | <p>Implement new improvement plans across SEND service.</p> <p>Implement plan to ensure service is Inspection ready.</p> <p>Ongoing improvement identification.</p> | 4 | 4 | 16 |

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|-----------------------------|--|---|---|---|---------|--------|-------|---|--------------------|--------|-------|
| | Risk | Impact | | | Impact | L'hood | Total | | Impact | L'hood | Total |
| FIR0018 Taylor, Lisa | <p>The 2019/20 budget is not managed within allocated resources resulting in an overspend and therefore the need to implement additional cuts to services.</p> <p>In year funding reductions are imposed whilst the Council experiences a continuous rising demand for service provision and growth in population. The continuing improvement of Children's Services following the OFSTED inspection (June / July 2017) has required greater investment in this service with over £10m having been invested in Children's Services during 2018/19. A further £12m investment has been allocated in the 2019/20 budget.</p> <p>2018/19 year-endoverspend was £5.466m. This includes costs relating to UASC, which the Home Office are still not engaging with Croydon to resolve.</p> <p>Q1 (2019/20) presented to Cabinet on 19/09/2019. Forecast in-year overspend of £9.4m which is attributable to UASC & NRPf being underfunded by the Home Office.</p> <p>Reviewed at DMT 24/10/19 & DLT 05/11/2019.</p> <p>(Risk generated 18/09/2018)</p> | <p>- Insufficient resources will 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 (Strategic objective alignment: Enabling).</p> <p>- 2019/20 Q1 monitoring has provided indication of a forecast overspend. Action being taken by all departments to reduce costs.</p> | <p>Harris-Baker, Jacqueline</p> <p>Resources Department / Corporate</p> | <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. Immediate response to national consultations / questionnaires in conjunction with continued lobbying of central government.</p> <p>f. Implementation of the Localities Project to deliver savings.</p> <p>g. Continued implementation of the Children's Improvement Plan.</p> | 5 | 4 | 20 | <p>a. Continue to implement all Savings & Transformation projects to ensure delivery.</p> <p>b. Refresh the MTFS to balance the 2020/21 budget and identify at an early stage projects and programmes to do this working closely with CLT / ELT and Cabinet to achieve this.</p> <p>c. Focus on preventative measures and early intervention particularly with identified top high cost families, including the Localities Project model benefits (continuous review).</p> <p>d. Children's Social Care - continued implementation of The Improvement Plan.</p> <p>e. Adult Social Care - continued review of service delivery and review of all contracts.</p> <p>f. Regular 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> | 5 | 3 | 15 |

| Risk Ref | Risk Scenario | | Exec Director | Existing Controls | Current | | | Future Controls | Future Risk Rating | | |
|----------|---------------|--------|---------------|--|---------|--------|-------|-----------------|--------------------|--------|-------|
| | Risk | Impact | | | Impact | L'hood | Total | | Impact | L'hood | Total |
| | | | | <p>h. SEN Transport - Continued development of the 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> <p>k. Recruitment pause commenced August 2019.</p> <p>l. Review of fees and charges.</p> <p>m. Implementation of High Needs Strategy.</p> | | | | | | | |

| Risk Ref | Risk Scenario | | Exec Director | Existing Controls | Current | | | Future Controls | Future Risk Rating | | |
|---|--|--|--|---|---------|--------|-------|--|--------------------|--------|-------|
| | Risk | Impact | | | Impact | L'hood | Total | | Impact | L'hood | Total |
| RCS0018 Harris-Baker, Jacqueline | <p>The Council's ability to deliver services (including all statutory requirements) are adversely / critically affected following the departure from the European Union by the United Kingdom.</p> <p>The United Kingdom's EU referendum (23/06/2016) resulted in the decision for the UK to exit membership from the EU. Article 50 (Treaty of Lisbon) was triggered by the UK Government on 29/03/2017 formalising the process for exit negotiations for the UK with the remaining EU member countries, On 10/04/2019 the 27 remaining EU member countries granted the UK an extension until 31/10/2019 within which time the UK is to formalise and ratify an agreement on the terms of the UK's departure. The UK Parliament has been unable to decide upon and determine the circumstances and conditions relating to the UK's departure from the EU as of 04/09/2019 with the Government losing its parliamentary majority on 03/09/2019. On 9th September 2019 the UK Government prorogued parliament until 14th October 2019.</p> <p>- 24 September 2019 - The Supreme Court ruled that the prorogation of parliament was unlawful and that the UK Government misled HM Queen when informing her that prorogation was lawful and necessary. As a result of the Supreme Court ruling, Parliament was recalled on 25th September by the Speaker .</p> <p>- 18 October 2019 - The UK Government and the EU Commission agreed the contents and terms of a formal withdrawal agreement for the UK that is due to occur on 31 October 2019. This formal withdrawal agreement has to be ratified by the UK Parliament in order to ensure the UK exits from the EU on the deadline set.</p> <p>- 22 October 2019 - The UK Parliament approves the formal withdrawal agreement (in principle) but rejects the accelerated</p> | <p>- Wider uncertainties about the UK's economy and trade arrangements could potentially impact development plans and inward investment that are vital for the borough's regeneration.</p> <p>- Uncertainty about future EU funding levels and the availability of funds projects already commenced.</p> <p>- The UK Economic performance will impact local authority budgets and grants. Currently there are unknowns about whether further grant cuts will be imposed and how Croydon's budget may be affected.</p> <p>- Croydon's business rates income could be impacted by any loss of confidence in investment in the UK economy.</p> <p>- A 'No-deal' Brexit has a high likelihood of causing disruption to supply chain with delays and additional processes at ports in the UK and EU. This may cause shortages in supplies, including critical areas such as medicines, food and fuel.</p> <p>- Uncertainties about the residency rights of current EU citizens in Croydon could cause community tensions and heightened tensions.</p> <p>- Civil unrest in the event of unpopular decisions taken by Parliament.</p> <p>- Inability of the Director of Public Health to deliver statutory assurance in respect of the Council's emergency preparedness.</p> <p>- The rates of unemployment increases within the borough increasing the liability for additional support on the Council.</p> | Harris-Baker, Jacqueline Resources Department / Corporate | <p>A report has been provided to Cabinet outlining the various implications and actions arising from a No Deal Brexit.</p> <p>An SRO has been appointed and has established a multi-service Brexit Working Group to coordinate the Council's response. This includes the sharing of information / intel, identification of risks and impact, scenario planning, communication and a corporate action plan. This work is being coordinated with partners.</p> <p>Cabinet have endorsed a statement to say that Croydon values and welcomes EU citizens and is open for business and plans are in place to safeguard our growth.</p> <p>Croydon Council Brexit group established and active and engaging with London Councils</p> | 5 | 4 | 20 | <p>In respect of EU regulations, the Council will monitor legislative and regulatory changes and respond in the appropriate time and keep abreast of responses by providers in EU markets.</p> <p>London Councils has called for the Mayor and London boroughs to work closely together to sustain growth and the success of London post referendum and explore the opportunities presented by devolution of powers and finance.</p> <p>The Council will continue to monitor pension fund investments, consider options and viability as volatility levels and markets change</p> <p>The Council will continue to monitor resources to enable delivery utilising the MHCLG grant as appropriate.</p> <p>The Council will continue working with developers and investors to encourage and enable suitable projects within the borough</p> | 5 | 4 | 20 |

| Risk Scenario | | | | | | Current | | | Future Risk Rating | | |
|---------------|---|--------|---------------|--|--------|---------|-------|-----------------|--------------------|--------|-------|
| Risk Ref | Risk | Impact | Exec Director | Existing Controls | Impact | L'hood | Total | Future Controls | Impact | L'hood | Total |
| | <p>ratification process in order for the UK to achieve the 31 October 2019 departure date from the EU. The UK Government is currently negotiating a formal approval to an extension to the departure date for the UK from the EU with the EU27 and also the length of that extension to the departure date.</p> <p>- 28 October 2019 - The EU27 have formally agreed to the UK request for an extension to the departure date / deadline of 31 October 2019. The EU 27 proposed a 31 January 2020 departure date with the opportunity for the UK to leave earlier should there be ratification of the formal withdrawal agreement by the UK Parliament. The UK Government have formally accepted the departure date 31 January 2020 which includes the option to leave earlier. The UK Government is requesting Parliament vote with a 2/3's majority to allow a General Election on 12 December 2019, the Government motion is rejected.</p> <p>29 October 2019 - UK Parliament Lower House (Commons) voted in favour to negate the Fixed Term Parliament Act 2011 and approved the UK Government's motion to hold a General Election on 12 December 2019. This motion is yet to be ratified by the UK Parliament's Upper House (Lords).</p> <p>30 October 019 - UK Parliament's Upper House (Lords) approves the motion proposed by the Lower House (Commons) for a General Election to be held on 12 December 2019.</p> <p>31 October 2019 - The Early Parliamentary General Election Bill 2019-20 receives Royal Ascent.</p> <p>**This risk is closely monitored in terms of impact however the outcome of the parliamentary process / details of the UK exit conditions cannot be determined at an organisational level. The Council will continue to react to the issues arising as a result of the status of the ongoing</p> | | | <p>Exec Director of Resources & Director of Policy and Partnerships met with Home Office 12/06/2019: - Contacts made regarding Business Continuity & security arrangements,</p> <p>- Clarification and further information provided in relation to EU settlement scheme.</p> <p>- Feedback provided to Home Office in relation to LAC challenges and general awareness / communications.</p> | | | | | | | |

| Risk Ref | Risk Scenario | | Exec Director | Existing Controls | Current | | | Future Controls | Future Risk Rating | | |
|----------|---|--------|---------------|---|---------|--------|-------|-----------------|--------------------|--------|-------|
| | Risk | Impact | | | Impact | L'hood | Total | | Impact | L'hood | Total |
| | <p>negotiations**.</p> <p>Reviewed updated 01/11/2019 and reviewed at DLT 05/11/2019.</p> <p>(Risk generated 25/06/2016).</p> | | | <p>In respect of the Council's Pension Fund, the Council is: - assessing the risk of the investment environment having changed;</p> <p>- checking whether the investment vehicles will work after the UK leaves the EU;</p> <p>- assessing how the Council can access more attractive regions and investment opportunities; and</p> <p>- monitoring changes for the investment regulations for the LGPS and reviewing the Treasury Management policy and the level of risk the Council is prepared to accept in view of the UK's credit rating.</p> <p>All relevant information presented to Cabinet (September 2019).</p> <p>The Council is working together with it's partners to be vigilant to identify any hate crime and take vigorous action against perpetrators.</p> <p>Using funding from MHCLG to ensure robust planning in place.</p> <p>We are contributing to Regional Communications Structure through London Council's.</p> | | | | | | | |