

## Appendix 1 Part A Risk Summary

Risk Ref	Business Unit	Risk	Inherent Rating	Residual Rating				Future 12 Month Rating
				05/24	08/24	11/24	02/25	
ASC0016	Director Adult Social Care Operations	Social Care Funding and pathway for eligible 'Continuing Health Care' and 'Joint Funding' demand led pressures increases significantly the financial commitment that the Council must provide without additional contributions	25	16	16	16	16	12
ASC0034	Director Adult Social Care Operations	Occupational Therapy waiting lists growing beyond service capability . This is a national issue.	25	16	20	16	16	12
ASC0040	Director Adult Social Care Operations	Careium service: There has been a category of risks with Careium not following procedures and failing to alert Careline as per procedure.	25	16	16	16	16	8
ASC0041	Director Adult Social Care Operations	Council is not able to meet the statutory requirement on DoLs assessments due to the volume of referrals and staffing ratio .	25	16	16	16	16	6
ASC0043	Director Adult Social Care Operations	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 .	25	20	20	20	20	16
ASC0045	Director Adult Social Care Operations	Extra Care Schemes - Poor response to repairs that impact residents and the Council's reputation	0	n/i	n/i	n/i	16	8
ASCI0020	Director of Adult Social Care Commissioning,	Ability to effectively prepare for the CQC Local System Assurance and evidence practice and delivery - not all functions (see risk 22) are direct control of the Directorate.	20	12	12	12	12	8
ASCI0022	Director of Adult Social Care Commissioning,	The quality of data, performance recording and insight impacts on operational and strategic oversight and service delivery. Failure to produce robust data for assurance purposes and for the inspection.	25	20	20	20	20	16
CDS0018	Chief Digital Officer	IT systems are compromised due to cyber-attack, misconfiguration, malware, ransomware outbreak, other malicious system breach; or human error / non-compliance with GDPR.	25	15	15	15	15	12
CDS0021	Chief Digital Officer	Failure of Croydon Council to meet its obligations under the UK General Data Protection Regulation (UK GDPR), Data Protection Act 2018, Privacy and Electronic Communications Regulations 2003, Freedom of Information Act	20	9	w/d	9	9	9
CDS0029	Chief Digital Officer	Delay in migration to the Synergy Education Management IT system.	25	16	16	8	8	4
CDS0035	Chief Digital Officer	A lack of (and risk of losing) application engineers reduces our ability to support critical IT systems.	25	25	25	25	25	20
CEHR0051	Chief People Officer	Under representation across protected characteristics at all levels of the organisation and under reporting due to high levels on non-disclosure.	20	12	12	12	12	9
CEHR0053	Chief People Officer	The key priorities of the Councils Workforce Strategy Action Plan are not fully implemented in particular addressing the challenges of an aging workforce and reliance on interim staffing .	0	w/d	w/d	w/d	12	6
CEHR0059	Chief People Officer	Levels of agency/contract/temporary staff at all levels of the organisation including senior management may lead to service and workforce instability as well as increased cost.	25	12	12	12	12	8

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CEHR0065	Chief People Officer	Payroll is not completed accurately and in a timely manner due to late notifications to payroll	25	15	15	15	15	10
CEHR0071	Chief People Officer	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	25	20	20	15	15	15
CEHR0072	Chief People Officer	Non-compliance with HMRC IR35 (Intermediaries) Legislation resulting in significant financial penalties.	25	9	9	9	9	6
CEHR0073	Chief People Officer	'MyResources' ERP total system failure stops the Council operating effectively, resulting in staff not being paid or managed properly.	25	10	10	10	10	5
CEHR0076	Chief People Officer	Potential deterioration in organisational resilience, high turnover and workforce sickness due to prolonged period of uncertainty and change	25	16	16	16	16	12
CEHR0080	Chief People Officer	Managers completion of reasonable adjustments (or lack), when requested by a disabled employee, and/or upon receipt of an occupational health report making a reasonable adjustment recommendation.	25	12	12	12	12	9
CIC0006	Director of Commercial Investment	The Facilities Management Capital Programme is not delivered in a timely and prioritised manner.	12	6	6	6	6	6
CIC0008	Director of Commercial Investment	Wholesale gas, electricity and utility costs increasing and risk of continual increases placing unsustainable financial burden on the council,	25	9	6	6	6	4
CIC0010	Director of Commercial Investment	Risk of financial loss due to the poor performance of Brick By Brick	16	9	6	6	6	4
CIC0011	Director of Commercial Investment	Corporate H&S responsibilities towards our staff are not managed leading to non-compliance with statutory requirements.	12	9	6	6	6	6
CIC0012	Director of Commercial Investment	Contract Management and Supply Chain risk, including inflationary pressures. Implications for revenue and capital spend programmes.	16	9	9	9	15	15
CIC0025	Director of Commercial Investment	Croydon Council companies: Robust governance, financial accounting treatment & risk management procedures/frameworks are not in place to safeguard the interests of the Council and its taxpayers.	25	9	9	9	9	6
CIC0027	Director of Commercial Investment	Procurement process is too bureaucratic and impacts on the council to move at pace.	16	9	6	9	9	9
CIC0028	Director of Commercial Investment	Partner, Supplier or Contractor suffers financial failure and operational impact Risk is higher due to the likely impact of the budget and NI employer increased contributions lowering of thresholds when NI contributions start.	25	9	6	9	9	9
CIC0029	Director of Commercial Investment	Re-procurement of contracts left until very late, close to or passed contract expiry	25	9	9	12	12	6
CIC0030	Director of Commercial Investment	Lack of clarity of volumes being commissioned from individual suppliers could lead to supplier failure and breach of procurement controls.	12	6	6	6	6	6

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ED0003	Director of Education	Risk of an increasing number of Council maintained schools, including maintained nursery schools, moving into a financial deficit.	25	16	16	16	16	12
ED0008	Director of Education	Increasing number of families electing to home educate places an additional burden in relation to our safeguarding responsibilities in this area.	16	12	12	12	12	8
ED0011	Director of Education	That the Council does not deliver the Safety Valve Programme and are not meeting the KPI's. This would result in the loss of the 2024 - 2027 Safety Valve payments amounting to £13.16m.	15	12	12	12	12	12
EDCIP0003	Director of Quality, Commissioning	Displaced People (Governance and Strategy).The cross-cutting nature of the potential impact and additional burden to the council in relation to asylum seekers and displaced people requires a whole council response.	25	20	16	16	16	12
EHSC0001	Director of Children Social Care	Future changes to the Mandatory National Transfer Scheme may create substantial pressure on the Council to provide services for unaccompanied and separated children (UASC).	25	6	6	6	6	6
EHSC0010	Director of Children Social Care	Exploitation of young people in the Borough both criminal and sexual harms children and young people.	25	16	16	16	16	16
EHSC0017	Director of Children Social Care	Risk of high caseloads to the quality of provision for children & families and the recruitment & retention in Family Assessment & Social Work with Families services.	25	20	16	9	9	9
EHSC0018	Director of Children Social Care	Effective action is not taken to address the underlying causes of social care expenditure specifically in terms of both the demand and the resulting financial pressures leading to fluctuating forecasts.	25	6	6	6	6	6
EHSC0019	Director of Children Social Care	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	25	20	16	16	16	9
EHSC0020	Director of Children Social Care	Risk as homeless 16 & 17 year old children are not adequately assessed and provided for when presenting to Croydon Council.	25	20	12	6	16	16
EHSC0021	Director of Children Social Care	Increased number of high cost placements. Whilst the number of Children looked after (LAC) has remained relatively static through effective demand management, the risk profile and level of need has changed.	0	n/i	n/i	n/i	16	12
FIR0062	Director of Finance	Funding levels provided through Government Grants and Business Rates income for future financial years are uncertain and may be lower than anticipated following local government finance reform.	25	15	15	15	15	15
FIR0063	Director of Finance	General increasing demand for council services driven by several factors, including declining health in the borough, the effects of Covid-19, neighboring boroughs placing vulnerable families in the borough.	25	20	20	20	25	20
FIR0065	Director of Finance	The Council does not achieve financial sustainability due to General Fund borrowing totaling £1.4bn and the costs of servicing that debt (2024-25 c £66m).	25	25	25	25	25	25
FIR0066	Director of Finance	The South West London Integrated Commissioning Board may reduce the Better Care Fund by £1m to bring it into line with the provision it makes to the other 6 Local Authorities in the SW London area.	16	12	12	9	9	9

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FIR0067	Director of Finance	Not having external audits of the 2020-21, 2021-22, 2022-23 and 2023-24 accounts could be masking errors in the accounts and therefore the current financial position of the Council is not certain.	25	20	20	20	16	9
FIR0068	Director of Finance	Deterioration in Internal Control and Governance as a result of capacity, budget and resourcing constraints in the organisation.	25	15	15	15	15	8
FRI0001	Head of Anti Fraud, Risk & Insurance	The Council is subject to a sustained increase in attempted fraudulent activities from employees, suppliers and residents if levels of control are perceived to be low.	16	12	12	12	12	9
FRI0003	Head of Anti Fraud, Risk & Insurance	Ineffective management and identification of risk leads to organisational failure.	25	15	15	15	15	10
HAS0007	Director of Housing Options	Lack of supply of affordable accommodation to meet homelessness demand.	25	15	20	20	20	20
HAS0021	Director of Housing Options	Homelessness and Temporary Accommodation Case Level Information Collection (HCLIC) returns to government.	20	12	12	12	12	6
HOTS0004	Director of Housing Tenancy	Staff and/or contractors do not have adequate awareness of statutory safeguarding responsibilities due to inadequate training and awareness activity and plans to deliver this.	16	6	6	6	6	6
HOTS0005	Director of Housing Tenancy	Breach of Regulatory Standards not addressed.	20	15	15	15	15	15
HOTS0006	Director of Housing Tenancy	Financial Impact of rent increase on tenants not entitled to housing benefit or the universal credit element of housing payments	20	12	12	12	12	12
HOTS0010	Director of Housing Tenancy	Failures to act on service requests and enquires generated as a result of meeting with residents	16	9	9	9	9	6
HP0003	Head of Pensions	Having triggered the capitalisation direction for 19/20 LBC can only borrow from PWLB, however PWLB have concerns about LBC increasing their level of external borrowing. In addition LBCs access to internal borrowing eg RTB	16	12	12	20	20	12
HP0010	Head of Pensions	Impact of higher interest rates	25	16	16	16	16	16
HP0011	Head of Pensions	Risk of Treasury investments defaulting.	15	5	5	5	5	5
HRC0001	Head of Resident Contact	Customer complaints at all stages, as well as LGO investigations and recommendations, are not responded to within service level agreements.	20	15	15	15	15	3
HSI0038	Director of Housing - Estates &	Significant overspend on HRA Repairs and Maintenance budget due to pressures from increased repairs demand including an increase in the number of voids and damp and mould cases.	25	9	9	9	12	6
HSI0039	Director of Housing - Estates &	The Council's housing repair contractors fail to deliver service in line with contractual obligations, leading to increased complaints, tenant dissatisfaction, Housing Ombudsman maladministration findings resulting.	25	12	12	12	12	6

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HSI0041	Director of Housing - Estates &	A high number of serious maladministration determinations linked to service failure for repairs, compliance and/or damp and mould cases.	25	16	16	16	15	9
HSI0042	Director of Housing - Estates &	The Council fail to comply with the requirements of the Building Safety Act within stated timescales.	15	9	9	9	9	6
HSI0043	Director of Housing - Estates &	The Council fails to comply with statutory compliance and safety obligations, including undertaking remedial actions across its housing portfolio, leading to legal or regulatory interventions.	25	9	9	9	9	8
HSI0044	Director of Housing - Estates &	The Council does not deliver its landlord obligations for the delivery of the Capital investment across the HRA estate, these include Decent Homes, HHSRS, Fitness for Habitation, Homes standard and Capital Programmes.	25	12	12	12	12	4
HSI0052	Director of Housing - Estates &	Potential structural issues linked to our LPS portfolio.	20	15	15	15	15	9
HSI0053	Director of Housing - Estates &	Attract Recruit and Retain Good Quality Permanent Staff in housing function	15	12	12	12	12	12
HSI0054	Director of Housing - Estates &	Ensure there is sufficient resource in all service areas to achieve required service standards and meet statutory and regulatory requirements	15	12	12	12	12	10
HSI0055	Director of Housing - Estates &	Additional costs as a result of lengthy investigation into the safe occupation of Sycamore House following the fire in 2022.	20	15	15	15	15	12
HSI0056	Director of Housing - Estates &	Increase in void costs as a result of the poor state of properties returned following tenancy termination and lack of planned investment over previous 10 years.	25	n/i	15	15	15	9
HSI0057	Director of Housing - Estates &	Large number of procurement projects required in the next 12 months as a result of existing contracts coming to an end or gaps in the existing supply chain; Insufficient resource in the corporate procurement team to manage	25	n/i	12	20	20	12
HSI0058	Director of Housing - Estates &	Risk of new developments and property acquisitions not being compliant, in terms of fire and building safety and other compliance legislative requirements. This risk applies for new properties, and converted properties	25	n/i	15	15	15	6
HSI0059	Director of Housing - Estates &	Procurement risk in timely appointment of main build contractor for Regina Road Regeneration	0	n/i	n/i	n/i	15	15
HTL0001	Housing Transformation Lead	NEC Phase 1: Income instability due to issues awaiting resolution within the system and delays to the creation of Planned Maintenance interface between NEC and Oracle Finance.	25	15	9	9	9	4
HTL0002	Housing Transformation Lead	NEC Phase 2 project deliverables delayed due to: - changes to requirements resulting in scope creep - lack of specialist resource to deliver projects	25	12	12	12	12	8
MO0013	Director of Legal Services & Monitoring	Significant staffing vacancies, reliance on agency cover and lack of a stable resource arrangement in legal services. Poor market supply of suitable candidate in areas such as children safeguarding, planning, housing,	6	1	1	1	6	6

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MO0014	Director of Legal Services & Monitoring	A significant demand for legal services to respond to increasing housing legal disrepair cases could lead to failures to protect the council's interest and award of significant damages.	9	1	1	1	6	6
PH0002	Director of Public Health	Ongoing challenge of low level of immunisation and vaccine hesitancy particularly with MMR, Influenza and Hep B in infants.	25	15	15	15	15	15
PH0007	Director of Public Health	Cost of living pressures continue to widen health inequalities in both physical and mental ill health , making more people vulnerable, and increasing demand on all Council services.	25	16	16	16	16	16
PP0030	Director of Policy, Programmes &	The Council fails to adequately deliver the Improvement and Assurance Panel's Exit Strategy within the set timeframes .	25	12	12	12	12	8
PP0032	Director of Policy, Programmes &	Limited organisational capacity leads to non-compliance under the Public Sector Equality Duty.	20	12	12	12	12	12
PR0013	Director of Streets & Environment	The risk associated with being unable to maintain parking income levels	25	12	12	12	12	12
PR0039	Director of Streets & Environment	Deterioration of the highway network and infrastructure due to the deferral of the planned revenue budget of £1m as part of the MTFS, for 23/24 and 24/25. Also Capital Programme dimension	25	16	16	16	16	16
PR0043	Director of Streets & Environment	Future waste collection and street cleansing service contract cost increase above forecast amount as a result of market appetite to risk resulting in increased price	25	16	16	16	16	15
PR0048	Director of Streets & Environment	Surface Water and Fluvial Flooding - Climate change is resulting in increased extreme weather events and housing intensification is increasing the demand on the water management systems.	25	9	9	20	20	20
PR0049	Director of Streets & Environment	SEND Transport - Budget allocation for SEN Transport is insufficient to meet the demand for EHCP	25	16	25	25	25	20
PST0008	Director of Planning & Sustainable	Crystal Palace Football Club (CPFC) stadium expansion – failure to work in partnership with CPFC to deliver proposed stadium expansion to an agreed timeframe.	9	6	6	6	6	6
PST0009	Director of Planning & Sustainable	The macro economic climate prevents the Council from delivering the necessary support infrastructure to the borough;	25	16	16	16	16	16
PST0011	Director of Planning & Sustainable	Decrease in funding into the Growth Zone due to changes to local economy, decline in new commercial development and Legislation (Planning and Business Rates) therefore inability to secure expected level of business rate	20	16	16	16	16	3
PST0012	Director of Planning & Sustainable	Under performance in achieving levels of external funding against service budget as a result of inadequate delivery of appropriate adult learning provision.	16	12	9	9	9	6
PST0025	Director of Planning & Sustainable	Development Management cannot recruit sufficient appropriately trained staff to manage workload and address backlog and fee income generated does not cover staffing needs.	20	15	12	12	12	12

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PST0026	Director of Planning & Sustainable	Significant increase in Planning Appeals and JRs, in particular public enquiries and hearings, these have considerable costs that are unbudgeted for within the service. In some instances the LPA may have to pay appellants	20	15	15	15	15	15
PST0028	Director of Planning & Sustainable	The £24.1m Reconnected Croydon programme of active and sustainable transport schemes, as well as public realm improvements, in the town centre is not delivered on time and on budget. Capital Programme dimension	25	n/i	n/i	20	20	15
RRR0002	Housing Regeneration inc Regina Road	Agreement of all contract terms and engrossment of all contracts for consultants, including architect, QS/employers agent and other multi disciplinary consultants necessary to deliver the Regina Road project.	0	n/i	n/i	12	12	6
RRR0004	Housing Regeneration inc Regina Road	Decant and Rehousing of Residents (residents moves) There are approximately 19 leaseholders remaining to agree terms for moves during the life of the building programme	0	n/i	n/i	15	15	15
TRA0004	Director of Transformation	When unexpected issues or emergencies arise in business a usual then resource capacity may be drawn away from delivering the Future Croydon transformation plan.	25	25	16	16	16	12
TRA0007	Director of Transformation	Financial resources may not be sufficient to deliver transformation ambitions	25	n/a	20	20	20	16
TRA0008	Director of Transformation	The transformation programme is not sufficiently ambitious enough, with insufficient change and savings	25	n/i	12	12	12	6
VRN0056	Director of Culture & Community	A complaint is made to DCMS regarding the consultation process for the Croydon Libraries Review which is upheld.	20	12	15	15	10	5
VRN0057	Director of Culture & Community	The Council fails to plan for / provide a Designated Disaster Mortuary on behalf of the Senior Coroner, in the event of a mass casualty event in south-west London. Capital Programme dimension. Note this is a binary risk -	25	20	20	20	20	5
VRN0060	Director of Culture & Community	The Council is unable to adequately respond to civil emergencies / incidents as per their duties within the Civil Contingencies Act 2004	25	16	16	12	12	8
VRN0063	Director of Culture & Community	MPS unilaterally transfer coroner court support duties and responsibilities to local authorities by 2028.	0	n/i	n/i	n/i	12	12
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