



AUDIT COMMITTEE SUPPLEMENTARY PAPERS

Wednesday, 17 April 2024 at 6.30 pm
Council Chamber, Hackney Town Hall,
London, Mare Street, E8 1EA

Members of the Committee:

Councillor Anna Lynch (Chair)
Councillor Sharon Patrick (Vice-Chair)
Councillor Sophie Conway
Councillor Zoe Garbett
Councillor Margaret Gordon
Councillor Shaul Krautwirt
Councillor Lee Laudat-Scott
Councillor Yvonne Maxwell
Councillor Caroline Selman
Councillor Gilbert Smyth

Dawn Carter-McDonald
Interim Chief Executive
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Contact: Mark Agnew
Governance Officer
governance@hackney.gov.uk

Audit Committee
Wednesday, 17 April 2024
Order of Business

- 10** **Adults, Health and Integration Directorate Risk Register (Pages 7 - 26)**
- 11** **Children and Education Directorate Risk Register (Pages 27 - 80)**

Public Attendance

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Members of the public and representatives of the press are entitled to attend Council meetings and remain and hear discussions on matters within the public part of the meeting. They are not, however, entitled to participate in any discussions. Council meetings can also be observed via the live-stream facility, the link for which appears on the agenda front sheet of each committee meeting.

On occasions part of the meeting may be held in private and will not be open to the public. This is if an item being considered is likely to lead to the disclosure of exempt or confidential information in accordance with Schedule 12A of the Local Government Act 1972 (as amended). Reasons for exemption will be specified for each respective agenda item.

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By attending a public meeting of the Council, Executive, any committee or sub-committee, any Panel or Commission, or any Board you are agreeing to these guidelines as a whole and in particular the stipulations listed below:

- Anyone planning to record meetings of the Council and its public meetings through any audio, visual or written methods they find appropriate can do so providing they do not disturb the conduct of the meeting;
- You are welcome to attend a public meeting to report proceedings, either in 'real time' or after conclusion of the meeting, on a blog, social networking site, news forum or other online media;
- You may use a laptop, tablet device, smartphone or portable camera to record a written or audio transcript of proceedings during the meeting;
- Facilities within the Town Hall and Council Chamber are limited and recording equipment must be of a reasonable size and nature to be easily accommodated.
- You are asked to contact the Officer whose name appears at the beginning of this Agenda if you have any large or complex recording equipment to see whether this can be accommodated within the existing facilities;
- You must not interrupt proceedings and digital equipment must be set to 'silent' mode;
- You should focus any recording equipment on Councillors, officers and the public who are directly involved in the conduct of the meeting. The Chair of the meeting will ask any members of the public present if they have objections to being visually recorded. Those visually recording a meeting are asked to

respect the wishes of those who do not wish to be filmed or photographed. Failure to respect the wishes of those who do not want to be filmed and photographed may result in the Chair instructing you to cease reporting or recording and you may potentially be excluded from the meeting if you fail to comply;

- Any person whose behaviour threatens to disrupt orderly conduct will be asked to leave;
- Be aware that libellous comments against the council, individual Councillors or officers could result in legal action being taken against you;
- The recorded images must not be edited in a way in which there is a clear aim to distort the truth or misrepresent those taking part in the proceedings;
- Personal attacks of any kind or offensive comments that target or disparage any ethnic, racial, age, religion, gender, sexual orientation or disability status could also result in legal action being taken against you.

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Advice to Members on Declaring Interests

If you require advice on declarations of interests, this can be obtained from:

- The Monitoring Officer;
- The Deputy Monitoring Officer; or
- The legal adviser to the meeting.

It is recommended that any advice be sought in advance of, rather than at, the meeting.

Disclosable Pecuniary Interests (DPIs)

You will have a Disclosable Pecuniary Interest (*DPI) if it:

- Relates to your employment, sponsorship, contracts as well as wider financial interests and assets including land, property, licenses and corporate tenancies.
- Relates to an interest which you have registered in that part of the Register of Interests form relating to DPIs as being an interest of you, your spouse or civil partner, or anyone living with you as if they were your spouse or civil partner.
- Relates to an interest which should be registered in that part of the Register of Interests form relating to DPIs, but you have not yet done so.

If you are present at any meeting of the Council and you have a DPI relating to any business that will be considered at the meeting, you **must**:

- Not seek to improperly influence decision-making on that matter;
- Make a verbal declaration of the existence and nature of the DPI at or before the consideration of the item of business or as soon as the interest becomes apparent; and
- Leave the room whilst the matter is under consideration

You **must not**:

- Participate in any discussion of the business at the meeting, or if you become aware of your Disclosable Pecuniary Interest during the meeting, participate further in any discussion of the business; or
- Participate in any vote or further vote taken on the matter at the meeting.

If you have obtained a dispensation from the Monitoring Officer or Standards Committee prior to the matter being considered, then you should make a verbal declaration of the existence and nature of the DPI and that you have obtained a dispensation. The dispensation granted will explain the extent to which you are able to participate.

Other Registrable Interests

You will have an 'Other Registrable Interest' (ORI) in a matter if it

- Relates to appointments made by the authority to any outside bodies, membership of: charities, trade unions, lobbying or campaign groups, voluntary organisations in the borough or governorships at any educational institution within the borough.
- Relates to an interest which you have registered in that part of the Register of Interests form relating to ORIs as being an interest of you, your spouse or civil partner, or anyone living with you as if they were your spouse or civil partner; or
- Relates to an interest which should be registered in that part of the Register of Interests form relating to ORIs, but you have not yet done so.

Where a matter arises at any meeting of the Council which affects a body or organisation you have named in that part of the Register of Interests Form relating to ORIs, **you must** make a verbal declaration of the existence and nature of the DPI at or before the consideration of the item of business or as soon as the interest becomes apparent. **You may** speak on the matter only if members of the public are also allowed to speak at the meeting but otherwise must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation.

Disclosure of Other Interests

Where a matter arises at any meeting of the Council which **directly relates** to your financial interest or well-being or a financial interest or well-being of a relative or close associate, you **must** disclose the interest. **You may** speak on the matter only if members of the public are also allowed to speak at the meeting. Otherwise you must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation.

Where a matter arises at any meeting of the Council which **affects** your financial interest or well-being, or a financial interest or well-being of a relative or close associate to a greater extent than it affects the financial interest or wellbeing of the majority of inhabitants of the ward affected by the decision and a reasonable member of the public knowing all the facts would believe that it would affect your view of the wider public interest, you **must** declare the interest. You **may** only speak on the matter if members of the public are able to speak. Otherwise you must not take part in any discussion or voting on the matter and must not remain in the room unless you have been granted a dispensation.

In all cases, where the Monitoring Officer has agreed that the interest in question is a **sensitive interest**, you do not have to disclose the nature of the interest itself.



Title of Report	ADULTS, HEALTH AND INTEGRATION DIRECTORATE RISK REGISTER - COVERING REPORT
For Consideration By	Audit Committee
Meeting Date	17 April 2024
Classification	Open
Ward(s) Affected	All Wards
Group Director	Helen Woodland, Group Director Adults, Health and Integration.

1. GROUP DIRECTOR'S INTRODUCTION

1.1 This report updates members on the corporate risks for the Adults, Health and Integration Directorate as at March 2024. It also identifies how risks within the Directorate are identified and managed throughout the year and our approach to embedding risk management.

2. RECOMMENDATION

2.1 **There are no specific recommendations from this report. The Audit Committee is asked to note the contents of this report and the attached risk registers and controls in place.**

3. REASONS FOR DECISION

3.1 Risk management is fundamental to effective business management and it is vitally important that we understand and monitor the key risks and opportunities of the Council. Officers and members are then able to consider the potential impact of such risks and take appropriate actions to mitigate those as far as possible. Some risks are beyond the control of the Council but nevertheless, we need to manage the potential impact or likelihood to ensure we deliver our key objectives to the best of our ability. For other risks, we might decide to accept that we are exposed to a small level of risk because to reduce that risk to nil is either impossible or too expensive. The risk management process helps us to make such judgements, and as such it is important that the Audit Committee is aware of this.

4. BACKGROUND

- 4.1 The current Directorate risk profile was reviewed by the Directorate of Adult, Health and Integration Services Management Team in March 2024. Detailed risk registers for Adults Social Care and Public Health have been prepared and were reviewed by the Management Team and the high-level Directorate risks highlighted and included in Appendix 1.

Policy Context

- 4.2 All risk related reporting is in line with the Council's Risk Policy, ratified biennially by the Audit Committee, and also fully supports the framework and ideology set out in the Risk Strategy.

Equality Impact Assessment

- 4.3 For the purposes of this report, an Equality Impact Assessment is not applicable, although in the course of Risk Management (and associated duties) all work is carried out in adherence to the Council's Equality policies.

Sustainability

- 4.4 This report contains no new impacts on the physical and social environment.

Consultations

- 4.5 In order for Risk Registers to progress to the Audit Committee, they will already have been reviewed by the relevant Senior Management team within the corresponding Directorate. Any senior officer with any accountability for the risks will have been consulted in the course of their reporting.

Risk Assessment

- 4.6 The Risk Register is attached at Appendix one to this report.

5. DIRECTORATE RISK REVIEW

- 5.1. The Directorate Risk Register comprises those that represent the most significant risks faced by the Directorate.

Public Health

- 5.2. Sexual health services face mounting pressures with increased rates of STIs, unwanted pregnancies, and outbreaks (PH02). Budget constraints exacerbate the challenge of meeting local treatment and service provision needs. Control measures, including the adoption of a Sexual and Reproductive Health strategy and increased financial oversight, aim to mitigate these challenges.

However, overspending and inequitable vaccine uptake continue to pose significant risks to public health outcomes in this domain.

This poses a significant risk, particularly due to the increasing rates of STIs, unwanted pregnancies, and outbreaks, compounded by budget constraints and inequitable vaccine uptake, which could lead to detrimental impacts on public health outcomes.

- 5.3. There's a pressing concern regarding the capacity and capability of the public health workforce to effectively respond to infectious disease outbreaks, epidemics, and pandemics. Rising expectations post-COVID-19 from national bodies without additional resources exacerbate these challenges. Clear guidance and adequate funding are lacking, hindering the development of local pandemic preparedness plans (PH01).

Cases of measles are rising across London and an epidemic is emerging across the capital, with outbreaks expected in Hackney. Preparedness work has been undertaken and a Public Health Specialist in Health Protection has recently been recruited. Despite this, capacity to respond to a measles epidemic is an area of concern. The risk likelihood has increased to reflect the current challenges.

- 5.4. Budgetary challenges in public health expenditure pose risks of overspending and hinder the realisation of Medium-Term Financial Plan savings. Agenda for Change salary uplifts among service providers have the potential to further strain budgets, while uncertainties in funding arrangements add complexity.

Control measures include regular reporting and governance processes to ensure appropriate spending and monitoring of public health grants. Despite efforts to manage budgetary risks, uncertainties remain regarding future funding and financial sustainability (PH03).

Adult Social Care

- 5.5. The core Adult Social Care risks remain largely consistent with the risks highlighted to the Audit Committee last year. Whilst risks related to ongoing improvement of ICT systems following the cyber attack remain, the recovery of Mosaic and subsequent robust Follow-On project that is in progress means the overall risk has reduced. The most significant risk to the service is the growing demand and insufficient budget and resources to effectively meet it.
- 5.6. Financial risks continue to increase, as demand for and cost of care has continued to increase, and the funding settlement is widely thought to be insufficient to meet the current or future demands on social care. The demand for services is greater than the funding available, meaning budgetary pressures will continue to worsen. These financial and demographic pressures are being mitigated in part through our transformation programme.

- 5.7. Within the service there remains a risk about the resilience and sustainability of the social care provider market in the context of rising demand and increased complexity and acuity of need for service users. This risk is compounded by the challenges that Covid-19 has presented, both operationally and financially, and that cost of living pressures have further compounded. In 2017 the Government set expectations of a Green Paper on future long-term funding for social care but this has not yet been forthcoming. In March 2020 the Government announced that it would be consulting widely on ideas for future funding arrangements. The focus of previous announcements to date has focused on support and funding for older adults and so far makes little mention of working age adults which is a concern as this represents a large proportion of people currently supported by Adult Social Care in Hackney. Sustainable funding arrangements are critical for Adult Social Care and pose a significant risk which will continue to be monitored through monthly financial reporting.
- 5.8. There continues to be national concern about the sustainability of the provider market, including an increasing number of providers who are returning contracts to local authorities, and falling into administration. Work is continuing to support a healthy local provider market, as reflected in the risk register. This includes paying a fair but affordable rate to provide quality care, and a check of the financial health of organisations through the procurement process alongside robust, regular contract management and market development through provider networks.
- 5.9. A new risk has been highlighted in relation to the increasing number of refugees at risk of homelessness. With demand continuing in light of global conflict, the resources we have to support different cohorts of individuals is influenced by the government funding available, which is often uncertain. There is a risk around the ability to meet priority needs, due to demand pressures on our statutory homelessness services and shortage of accommodation. We are utilising multiple streams of activities to help mitigate these risks, including commissioning services to help those who receive refugee status to avoid rough sleeping and source interim and longer term accommodation.
- 5.10. Due to the cyber attack, the service was without a complete and fully functioning case management and payment system for two years. This provided significant challenges for monitoring service user risk, making payments in an accurate and timely way, and managing team performance. Mosaic was recovered in November 2022, and a significant follow-on project was necessary to restore full functionality. The Mosaic recovery work is now complete, with work now in progress to deliver future functional enhancements to the system to both functionality and data quality before the risk is fully mitigated.
- 5.11. Recruitment and retention of social workers remains a pan-London issue. In Hackney we have been successful in enabling locum/ agency staff to move to

permanent, an ongoing apprenticeship offer, and a team dedicated to a focus on workforce development. This remains an area to monitor however due to national shortages which will continue into the future.

Integrated Commissioning

- 5.12. This approach continues to develop through the City & Hackney Placed Based partnership, which serves as a collaborative endeavour, uniting health and social care organisations to enhance outcomes and mitigate inequalities for the local population. It operates as one of the seven pivotal Place Based Partnerships within the North East London Integrated Care System. The partnership is overseen by the City and Hackney Health and Care Board (formerly the Integrated Care Partnership Board) which has specific terms of reference, governance and risk management structures to enable the delivery of integrated health and care services for the system.
- 5.13. As we navigate the complexities of the Adults, Health, and Integration landscape, it is imperative to remain vigilant to emerging risks and opportunities. By fostering a culture of collaboration, innovation, and accountability, we can collectively strive towards our shared goal of enhancing outcomes and reducing inequalities for the City and Hackney population.

6. COMMENTS OF THE INTERIM GROUP DIRECTOR, FINANCE

- 6.1 Effective risk management is a key requirement for good financial management and stability. This becomes more significant as funds available to the Council are reduced and budget reductions are made.
- 6.2 The Directorate seeks to mitigate risks as they are identified. In some instances, where there are volatile external factors and uncertainty, this will be through seeking access to reserves maintained by the Group Director of Finance and Corporate Resources.
- 6.3 There are no direct costs arising from this report, however risks linked to increasing demand for services, cost of living, the legacy of the Covid-19 pandemic and the Cyber Attack will continue to be monitored through the monthly Overall Financial Report (OFP).

7. COMMENTS OF THE ACTING DIRECTOR OF LEGAL, DEMOCRATIC AND ELECTORAL SERVICES

- 7.1 This report recommends that the Audit Committee note the contents of this report with the attached appendices. In accordance with Article 9.1.2 of the Council's constitution, the Audit Committee is responsible for assisting the Council in discharging its functions in relation to its risk management framework. The Accounts and Audit Regulations 2011 also requires the



Council to have a sound system of control which includes arrangements for the management of risk. This report is part of those arrangements and is designed to ensure that the appropriate controls are effective.

7.2 There are no immediate legal implications arising from this report.

APPENDICES

Appendix 1 – Adults, Health and Integration risk register.

BACKGROUND PAPERS

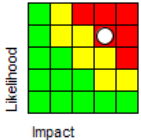

None

Report Author	Reza Paruk Head Of Finance reza.paruk@hackney.gov.uk 020 8356 4223
Comments on behalf of the Group Director of Finance and Corporate Resources	Vernon Strowbridge Interim Director of Finance (Services) vernon.strowbridge@hackney.gov.uk 020 8356 8408
Comments of the Acting Director of Legal, Democratic and Electoral Services	Louise Humphreys Acting Director of Legal, Democratic and Electoral Services louise.humphreys@hackney.gov.uk 020 8356 4817

ADULTS, HEALTH & INTEGRATION DIRECTORATE RISKS



1. PUBLIC HEALTH DIVISION RISKS

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 13</p> <p>AH&I PH 01 - Public Health Workforce: Health Protection</p>	<p>That the public health team does not have enough capacity, or the appropriate capability, within the team to respond to infectious disease outbreaks / epidemics / pandemics.</p> <p>Contributing to this risk is the rising expectation from UKHSA and OHID for local teams to shoulder the burden of infectious disease outbreaks / epidemics / pandemics since the start of the COVID-19 pandemic. However no additional resource (in the form of funding or wider support) has been provided to enable local teams to subsume the management of this risk into BAU.</p> <p>Commissioning arrangements for activities to mitigate against the above risk are often unclear and funding from national organisations to place is piecemeal.</p> <p>No guidance for the development of local pandemic preparedness plans has been developed by UKHSA's new nation pandemic preparedness centre (although verbal assurance has been provided that this is in development).</p> <p>Low coverage of immunisations locally increases the risk of local outbreaks / epidemics of vaccine preventable diseases locally.</p> <p>Impact</p> <ol style="list-style-type: none"> Wider scale impacts of infection disease outbreaks / epidemics / pandemics and resulting widening health inequalities Widening health inequalities as a result of inequitable uptake of vaccines 	<p>Adults, Health & Integration</p>	 <p>Likelihood</p> <p>Impact</p>	 <p>Risk updated March 2024. Cases of measles are rising across London and an epidemic is emerging across the capital, with outbreaks expected in Hackney. Preparedness work has been undertaken. A Public Health Specialist in Health Protection has recently been recruited (started at the beginning of March 2024). Despite this, capacity to respond to a measles epidemic is an area of concern. Likelihood has increased reflecting current challenges.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
Page 14 AH&I PH 01A - Public Health Workforce: Health Protection	<ol style="list-style-type: none"> 1. Recruitment of a Public Health Specialist in Health Protection 2. Establishment of a NEL-wide Infection Prevention and Control Team 3. Well established Health Protection Forum 4. Regular exercising of health protection scenarios partners and reviewing subsequent actions 5. Light-touch update of pandemic flu plan has been completed with capacity now in place to carry out a full revision over 2024/25 6. Ongoing engagement / communication work with local settings / stakeholders including schools, early years, maternity services, health visiting, GPs around immunisation and IPC 7. Direct work with the Charedi community to encourage behaviour change and vaccine uptake 8. Regular targeted comms to manage individual behaviours 9. Providing direct health protection advice and guidance to those supporting refugees and migrants as well as those experiencing homelessness 10. Strengthening intelligence and capacity to respond to outbreak threats and variants of concern 	Sandra Husbands	Carolyn Sharpe	March 2025	Successful recruitment to a Public Health Specialist in Health Protection post. A CYP Immunisations Coordinator is in post - sitting within the CYPMF Integrated Workstream. A NEL-wide Infection Prevention and Control Team has been established with one IPC nurse supporting Hackney care settings. A measles preparedness and response plan has been developed and a measles tabletop exercise, with partners, took place at the beginning of March 2024.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I PH 02 Sexual Health	Increased rates of STIs, unwanted pregnancies, outbreaks of STIs and development of multi drug resistant infections. Cost of meeting local treatment and service provision need exceeds current budget allocation.	Adults, Health & Integration	<p style="font-size: small; margin: 0;">Likelihood Impact</p>	<div style="text-align: center; margin-bottom: 10px;"> </div> March 2024 Rates of STIs continue to rise in Hackney and across London

				Clinical sexual health providers are highlighting increased service pressures from increased need, complexity and financial pressures from AfC pay increases
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I PH 02A Sexual Health	<p>C&H SRH strategy and action plan now adopted and being implemented. SRH sub group of HWBs now set up and joint chaired by C&H lead members.</p> <p>Increased financial oversight of provider activity and spend now being implemented</p> <p>Impact overspend on SHR spend, negatively impacts the overall PH budget and in response, MTFs savings are not realised, significant impact on residents health and wellbeing</p>	Sandra Husbands	Froeks Kamminga, Chris Lovitt	March 2025	March 2024 Strategy adopted, SRH sub being set up, increased financial oversight of provider activity benign developed

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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I PH 03 Budget	<p>That Public Health expenditure may not be effectively contained, resulting in instances of overspending.</p> <p>Agenda for Change salary uplifts applied to staff delivering NHS commissioned services may lead to significant budget pressures.</p> <p>The identification and realisation of MTFP savings or other specified variances within the intended financial years, designated for utilisation in</p>	Adults, Health & Integration		<p style="text-align: center;"></p> <p>Risk updated March 2024</p> <p>DHSC PH grant documentation continues to mention AfC pay increases</p>

	<p>associated LA services, could face challenges while ensuring the continuous provision of PH services to the borough.</p> <p>The identification and realisation of MTFP savings & Health in all Policies work could result in reductions to existing recharges between the City and Hackney, negatively affecting Hackney's overall budgetary aims.</p>			<p>The contribution of the City of London PH grant to the core costs of the PH service has been agreed, and joint service provision continues across the two organisations.</p> <p>Discussions are underway with a major NHS provider on their 23-24 AfC shortfall due to a removal of ICB funding and the potential impact this can have on existing contract provision.</p> <p>Risks are monitored through bimonthly financial reporting through the OFP report.</p> <p>Detailed analysis work will be undertaken to assess the budgetary impact of Agenda for Change (AfC) salary uplifts within the NHS in 24-25</p>
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I PH 03A Budget	<ol style="list-style-type: none"> 1. Quarterly reports produced for the management team on performance and spend for each contract across the service. Options for future budget reductions across Public Health continue to be considered with potential reduction to the ring-fenced grant. 2. Maintain governance processes to ensure appropriate spend of public health grant expenditure and appropriate reporting. Ensure that grand conditions are discussed at SMT so senior staff are aware of the grant conditions for the short term grant streams. 3. Monitor changes to wider context of public health funding and implications for the budget plan, including impact of changes to national public health services. 4. SLA with the City of London agreed with appropriate core funding and joint commissioning of services. 5. Maintaining close links with City Finance colleagues to ensure reporting is consistent and accurate. 	Sandra Husbands	Anthea Henry	Ongoing, with monthly reporting.	<p>Updated Mar 2024. Finance updates provided to PHSMT on a quarterly basis highlighting key risks/issues.</p> <p>While no LA responsibility to meet 23-24 funding gaps as a result of NHS staffing salary uplifts has been accepted, PH will include the potential impact of 23-24 AfC uplifts in year end forecasts.</p> <p>Work underway to review Health in all Policies</p>

					<p>collaborations across Hackney</p> <p>City SLA review meeting undertaken in Feb 2023 and funding agreed for 2023/24. Quarterly SLA Review meetings are ongoing.</p>
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>Page 17</p> <p>AH&I PH 04 Joint Service</p>	<p>Hackney or the City of London do not feel that they are getting suitable PH services as part of joint service and seek to withdraw from joint service causing disruption to PH service provision</p> <p>Impact</p> <ol style="list-style-type: none"> 1. Reputational damage 2. Insufficient capacity to separate the staff into two services to meet the needs of both organisations 3. Disgruntled staff 4. Financial risk 	Adults, Health & Integration		<p>Risk updated March 2024 No change</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I PH 04A Joint Service	<ol style="list-style-type: none"> 1. Clear PH service identity as a joint service and work plan communicated 2. All commissioned contracts report against Hackney and CoL resident activity/ outcome and ensure summary of activity is communicated to relevant stakeholders 3. Ensure SLA annual review meeting undertaken with outcomes report produced & agreement on recharge for forthcoming financial year 4. Provide updates to CoL and Hackney lead members on joint service provision 	Sandra Husbands	Chris Lovitt, Anthea Henry	31st March 2025	<p>March 2024, CL Annual update on SLA prepared for City DLT and awaiting confirmation of recharge for 2024/25</p> <p>Ongoing discussion with CoL DLT on savings proposal</p>

	<p>5. Discussions with new Chief Officer in the City as to whether to move from SLA to MOU</p> <p>6. Proposed areas identified for "savings" communicated to City DLT for discussion of impact</p>				
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>AH&I PH 05 Mortuary</p> <p>Page 18</p>	<p>Hackney mortuary is closed until Autumn 2024 and undergoing a full refit. All operations of the mortuary transferred to St Pancras and operating as a single mortuary under Camden policies. Any failures of equipment or processes now covered by MOU with Camden.</p> <p>Potential for costs to increase if building works run over time or reputational risk from failures while St Pancras maintains operational controls.</p> <p>Potential for St Pancras to withdraw from the agreed MOU due to unforeseen circumstances.</p> <p>Impact Cost pressure from Camden off-sighting bodies to Jackson Hub other than in accordance with MOU. Delay in refit increasing costs by joint arrangement with Camden. Reputational risk in event of equipment or process failure</p>	Adults, Health & Integration	<p>Likelihood</p> <p>Impact</p>	Mar 2024, Hackney mortuary now closed and all operations transferred to St Pancras and Jackson Hub

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I PH 05A Mortuary	<p>MOU developed and signed with Camden to cover the operation of the mortuary. Monthly MOU review meetings</p> <p>Refit fortnightly meetings to track progress on building work</p>	Sandra Husbands	Chris Lovitt, Katherine Adams	Oct 2024	March 2024, Regular MOU review meetings & refit meetings now organised and progressing well.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I PH 06 Data sharing general risk and data governance	<p>Loss of access to data required to make decisions, monitor contract performance, health outcomes and disease surveillance. In addition, inadequate support around data governance can pose significant risks to data security or, conversely, prevent data sharing in the circumstances where it is legally required to do so.</p> <p>Impact</p> <ol style="list-style-type: none"> 1. Potential disruption to service delivery 2. Decisions made on inadequate data not serving the needs of communities and residents 3. Impact on resources related to resource misallocation and recovery of access to data 4. Loss of trust from residents and partners, reputational damage 5. Data security breaches 	Adults, Health & Integration		<p>Risk updated March 2024 No change</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
Page 19 AH&I PH 06A Data sharing general risk and data governance	<p>Data sharing remains one of the key issues across many service areas. It is widely recognised that these issues need to be solved collaboratively. The following steps can help in improving access to necessary data and data governance:</p> <ol style="list-style-type: none"> 1. Clear and efficient data governance processes that are standard across Hackney Council 2. Review of existing data sharing agreements to ensure services provide data at the right level of detail, enabling equity audits 3. Review of data sharing agreements to ensure that key performance metrics are meaningful to service improvement and evaluation 4. Where data sharing is precluded by contractual arrangements, review contractual arrangements involving all necessary partners 5. Where data sharing is precluded by digital and technical limitations, consider alternatives, developing a service improvement programme, procuring new systems 6. Where data sharing is precluded by skills and knowledge, arrange professional development training 	Sandra Husbands	Chris Lovitt, Diana Divajeva		<p>Public Health Intelligence continues to work with the Clinical Effectiveness Group, the NEL ICB Data Team, Homerton Information Service to optimise data sharing across various service areas.</p> <p>Internally, Public Health Intelligence and colleagues across Hackney Council initiated work on council-wide data strategy to address some of the most persistent issues around data governance and data sharing. This work has been suspended however, pending organisational changes.</p>

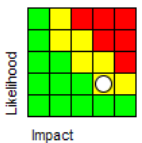

2. ADULT SOCIAL CARE

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I AS 001 Existing budget and resources are not sufficient to meet demand (Financial, reputational and poor service user outcomes and experience)	<p>Demographic pressures and lack of in-Borough provision causing increased demand on budget.</p> <p>Cost of living contributing to increased rates across market and reduction in ability of individuals to contribute towards care.</p> <p>Pressure on the provider market and social care workforce may mean insufficient resources to meet demand.</p> <p>Acuity of need of individuals coming from hospital and earlier hospital discharges (pressure to) increasing costs</p> <p>Covid-19 and cyber recovery costs have added cost pressures across the system.</p>	Adults Health and Integration		<p>Reviewed February 2024</p> <p></p> <p>Risk has increased</p> <ul style="list-style-type: none"> • Demand for ASC continues to rise, with substantial increase in numbers needing long term care and support with hospital discharge. • Unit costs of providing care are also rising, alongside impact from cost of living. • The cyber attack further added to these pressures as resources were diverted to work on the recovery. Payment processes were severely impacted - we were unable to complete financial assessments for new service users for ~18 months, resulting in a significant loss of care-charging income. Challenges now exist in claiming back this income. • The cost of the pandemic for the directorate significantly exceeded amounts provided by grants or corporate funding. • The funding settlement outlined in the Government White paper 'People at the Heart of Care' is widely thought to be insufficient to meet the current or future demands on social care. • These risks continue to be monitored and reported through the monthly OFP report and through monthly updates at ASC SLT and AH&I DLT.

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Control Title	Control Description	Responsible Officer	Service Manager
AH&I AS 001A Financial Controls	1. A department savings tracker has been implemented and is coordinated by Finance, Head of Service Lead and relevant officers, and reported to ASC SLT monthly. For services with a S75 Agreement, this is now monitored at the appropriate quarterly governance meetings	Georgina Diba	Director Adult Social Care Operations

	<ol style="list-style-type: none"> 2. Mosaic Follow On work has priority areas around finance, including systems to provide more accurate sign off of care delivered vs care commissioned 3. Quality assurance process for care and support commissioning embedded 4. Closely monitoring future funding arrangements for hospital discharge pathway, with oversight of health contribution via the BCF 5. Working in partnership with an external provider on 'Transforming Outcomes Programme' to contribute towards savings 		
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>Page 21</p> <p>AH&I AS 002 – Provider Failure and local market sustainability</p>	<p>Within the continuing challenging financial climate, the ability of Social Care providers to continue to deliver high quality, cost effective services is at risk.</p> <p>There are risks regarding sustainability of the market, and financial viability of providers.</p> <p>Cost of living and delivering services is adding further pressure. Concern around provider failure</p>	Adults, Health and Integration		<p>Reviewed February 24</p> <p style="text-align: center;"></p> <p>This risk has increased.</p> <ul style="list-style-type: none"> • Covid-19 has placed additional pressures on providers. • There continues to be instability in the homecare market nationally. Cost models developed with ADASS London and NICE indicate that no boroughs are currently meeting the true cost of homecare according to our own criteria (e.g. London Living Wage and the Ethical Care Charter). • Hackney is dependent on providers in other authorities, to which it has less influence on the market sustainability • Recent inflationary growth and issues in the supply market (e.g. fuel, utilities) add extra concern.

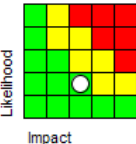
Control Title	Control Description	Responsible Officer	Service Manager
<p>AH&I AS 002A</p> <p>Provider Failure</p>	<ul style="list-style-type: none"> • Ongoing quality assurance of providers delivering care and supported living service, including utilisation of provider concerns process where appropriate • Distribution of extra funds through grants • Ongoing conversations with providers re: sustainability • Process for uplifts trailed in 2023/24 successful, and to be implemented ongoing. • Continued use of Care-Cubed to understand the market and prices 	Jenny Murphy	Commissioners

	<ul style="list-style-type: none"> • Commissioning of Care Analytics 2024 to look at older people’s care, including across NEL • Conversations around provider failure in light of Home Office revocation of licences being considered at NEL and wider 		
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I AS 003 - Inability to attract and retain a stable, high calibre workforce for key roles within Adult Services (Financial and reputational risk, poor service user experience and outcomes)	Continued staff turnover leading to instability and loss of continuity in service delivery. Risk that recruitment becomes increasingly difficult due to market pressures and reputational damage to LBH caused by cyber attack/impact on social care systems.	Adults, Health and Integration		Reviewed: February 2024 This risk has stayed the same. <ul style="list-style-type: none"> • Some posts remained unfilled, and Managers have reported challenges in attracting high quality candidates, as well as retaining staff. In Adult Services there is a steady shift in staff, with some dependency on interims • Previous LGA Health Check survey 'The Standards for Employers of Social Workers' found that in Hackney, Continuous Professional Development was the area that scored lowest, therefore may be a contributing factor to increased staff turnover. HwC colleagues keen to consider professional and career development. • Housing with Care has a high reliance on agency staff use. Whilst use of agency staff allows us to be flexible and will always be required, levels remain higher than is ideal. Recruiting permanent staff into this service remains a challenge.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
AH&I AS 003 A	1. Career pathway redesign across health and social care sector	Georgina Diba	Director ASC Operations	Ongoing	<ul style="list-style-type: none"> • Workforce Strategy Launching and to be delivered in 2024/25

<p>Inability to attract and retain a stable, high calibre workforce for key roles within Adult Services</p>	<ol style="list-style-type: none"> 2. Training and development opportunity - recruitment incentive and retention offer 3. Recruitment campaign and apprenticeship expansion 4. Retention focus through transformation programmes and culture change 			<ul style="list-style-type: none"> • Implementation of Workforce Race Equality Standards • Workforce team structure to develop health and social care recruitment and development platform/ offer • Continued focus on positive working culture - embedding by staff and through TOP Programme • Moving to a rolling recruitment approach and embedding recruitment best practice across the service • Idea generation around growing own and increasing newly qualified and career transfer across sectors
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>PACH AS 004 - Increased risk to data relating to vulnerable adults due to cyber attack</p>	<p>In the aftermath of the cyber attack, some data including ASC complaints data was published on the dark web.</p> <p>Identifiable and personal information has been published, putting some service users' data at increased risk.</p>	<p>Adults, Health and Integration</p>		<p>Reviewed February 2024</p> <p>This risk has decreased</p> <ul style="list-style-type: none"> • Risks to individuals have been assessed, and any high risk cases have been notified, including discussing how they can mitigate and reduce risk to themselves and who to contact if they have further concerns.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<p>AH&I AS 004 A</p> <p>Increased risk to data relating to vulnerable adults due to cyber attack</p>	<ol style="list-style-type: none"> 1. Risk assessment, mitigations and notifications strategy in place and in progress to mitigate against any potential risks. Personalised approach adopted due to level of risk associated. 	<p>Georgina Diba</p>	<p>Leanne Crook</p>	<p>Ongoing</p>	<p>All notifications carried out and no risks realised to date.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
CACH AS 005 Insufficient information and systems to safely run the service Page 24	ASC returned to Mosaic in November 2022; however, this was recovery and additional work is required to ensure the system is optimised to support practice and risk management of our residents. Risk of judicial review or legal challenge if we are unable to complete statutory returns or provide relevant information needed.	Adults, Health and Integration		<div style="text-align: center;"> </div> <p>Updated February 2024 This risk has decreased</p> <p>Mosaic provides a good basis but further work is needed to optimise the system to support recording, processes and our statutory returns.</p>

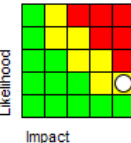
Control Title	Control Description	Responsible Group Director / Officer	Head of Service	Due Date	Control - Latest Note
AH&I AS 005 A Insufficient information and systems to safely run the service	<ol style="list-style-type: none"> 1. Deliver Mosaic Joint Strategy between ASC and CFS to ensure the system has potential to realise all improvements and efficiencies identified 2. Ensure project scope and progress is carefully monitored, and risks and issues mitigated against via a Board chaired by the Director. 3. During the duration of the work, work with ICT to ensure sustainable model and support for this system. 	Georgina Diba / Rob Miller	Leanne Crook	Sep 2024	Resources for a Mosaic follow-on project are approved (via Capital Bid request process), to facilitate subsequent procurement. Work is split into three phases - phase 1 (Jan-April) is funded through mosaic recovery underspend plus 10% extension to existing PO. Phase 2 and 3 are funded via the Capital Bid.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
AH&I AS 006 Increasing numbers of refugees at risk of homelessness	<p>The numbers of refugees at risk of homelessness is increasing, as more asylum claims are granted and eviction notices are issued to those in Home Office hotels. Seeking settled accommodation for Ukrainian refugees following their initial hosting arrangement, as well supporting families in the Borough as part of the Afghan Resettlement schemes to find suitable homes in the Private Rented Sector, further adds to the demand on housing and homelessness services.</p> <p>With ongoing global conflict, we anticipate demand will continue, though we do not have certainty about the future of funding and Government schemes to support different cohorts, which influences the support we can provide.</p> <p>The risk of rough sleeping for single adults is high, and the demand pressures on statutory homelessness services and the shortage of temporary and longer term accommodation means there is a risk around our ability to meet needs for those with priority needs.</p>	Adults, Health and Integration		<p>Risk added February 2024</p> <p>This is a new risk to be escalated to the Directorate register.</p> <p>The Refugee, Migrant and Asylum Seeker service was formed in Summer 2023, and provides coordination and support to refugees and asylum seekers in the borough.</p>

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Control Title	Control Description	Responsible Group Director / Officer	Head of Service	Due Date	Control - Latest Note
AH&I AS 006 Increasing numbers of refugees at risk of homelessness	<ol style="list-style-type: none"> Information sharing to support BHN understand and prepare for projected demand for statutory services, in particular demand coming from Home Office hotels. Use of the Local Authority Housing Fund to source suitable properties, and a commissioned provider is supporting Afghan families with move-on plans and avoid need for statutory services. LBH Support Workers proactively develop move-on and integration plans with Ukrainian guests to help them find homes in the Private Rented Sector after their host arrangements end. We work closely with Housing Supply and have developed a proactive move-on support offer. 	Georgina Diba	Leanne Crook		n/a - risk added Feb 2024

	<p>4. Commissioned the Single Homeless Prevention Project to deliver the 'Refugee Next Steps' service to support single adults who receive refugee status and are evicted from hotels. They source interim accommodation to avoid rough sleeping, and support individuals to source longer term accommodation and provide wider integration support.</p>			
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>AH&I AS 007 Ability to meet MHRA National Patient Safety Alert deadline for equipment reviews</p>	<p>Patient safety advice issued in relation to equipment that has risk of entrapment or falls; action required to review ~2000 individuals by 31 March 2024 not achievable. A detailed risk and mitigation plan is in place separately</p>	<p>Adults, Health and Integration</p>		<p>Risk added April 2024 This is a new risk to be escalated to the Directorate register. A detailed risk and mitigation plan is in place separately.</p>

Control Title	Control Description	Responsible Group Director / Officer	Head of Service	Due Date	Control - Latest Note
<p>AH&I AS 007 Ability to meet MHRA National Patient Safety Alert deadline for equipment reviews</p>	<ol style="list-style-type: none"> Using data to prioritise based on high risk residents, taking into account whether seen in last 12 months, waiting lists, and previous reviews Proportionality of reviews, including telephone, risk tool for paid care workers, desktop reviews, but with face to face where required Increasing supervision and training for product information and clinical reasoning. New joint bed rail policy and training updated (now mandatory) Long term work to embed the risk assessment into Mosaic 	<p>Georgina Diba</p>	<p>Leanne Crook</p>		<p>n/a - risk added Feb 2024</p>



Title of Report	CHILDREN AND EDUCATION DIRECTORATE RISK REGISTER
For Consideration By	Audit Committee
Meeting Date	19 April 2024
Classification	Open
Ward(s) Affected	All Wards
Group Director	Jacque Burke, Group Director of Children and Education Services

1. GROUP DIRECTOR'S INTRODUCTION

- 1.1 This report updates members on the corporate risks for the Children and Education Directorate as at March 2024. It also identifies how risks within the directorate are identified and managed throughout the year and our approach to embedding risk management.

2. RECOMMENDATION

- 2.1 **There are no specific recommendations from this report. The Audit Committee is asked to note the contents of this report and the attached risk registers and controls in place.**

3. REASONS FOR DECISION

- 3.1 Risk management is fundamental to effective business management and it is vitally important that we know, understand and monitor the key risks and opportunities of the Council. Officers and members are then able to consider the potential impact of such risks and take appropriate actions to mitigate those as far as possible. Some risks are beyond the control of the Council but we nevertheless need to manage the potential impact or likelihood to ensure we deliver our key objectives to the best of our ability. For other risks, we might decide to accept that we are exposed to a small level of risk because to reduce that risk to nil is either impossible or too expensive. The risk management process helps us to make such judgements, and as such it is important that the Audit Committee is aware of this.

4. BACKGROUND

- 4.1 The current Directorate risk profile was reviewed by the Directorate of Children and Education Services Management Team in March 2024. Detailed risk registers for Children's Services and Hackney Education have been prepared and were reviewed by the Management Team and the high-level Directorate risks highlighted and included at Appendix one.

Policy Context

- 4.2 All risk-related reporting is in line with the Council's Risk Policy, ratified biennially by the Audit Committee, and also fully supports the framework and ideology set out in the Risk Strategy.

Equality Impact Assessment

- 4.3 For the purposes of this report, an Equality Impact Assessment is not applicable, although in the course of Risk Management (and associated duties) all work is carried out in adherence to the Council's Equality policies.

Sustainability

- 4.4 This report contains no new impacts on the physical and social environment.

Consultations

- 4.5 In order for Risk Registers to progress to Audit Committee, they will already have been reviewed by the relevant Senior Management Team within the corresponding Directorate. Any senior officer with any accountability for the risks will have been consulted in the course of their reporting.

Risk Assessment

- 4.6 The Risk Register is attached at Appendix one to this report.

5. DIRECTORATE RISK REVIEW

- 5.1 The Directorate Risk Register comprises those that represent the most significant risks faced by the Directorate. Separate risk registers for Children's Services and Hackney Education are maintained and sit beneath the Directorate Risk Register and are available for review.

Children and Education Risks

- 5.2 Further to the publication of the Local Child Safeguarding Practice Review relating to Child Q, a new directorate-wide risk was added to the risk register last year and remains on the register. This risk was added under the

management of partnership agencies in ensuring the well-being of children. A range of controls in place include taking a safeguarding first approach - with clear anti-racism values and identification training and a 'my child' mindset.

Children and Family Risks

- 5.3 There has been no overall change to the profile of most risks for Children and Families compared to those set out in the report to Audit Committee last year.

New risks:

- Following the publication of the Government reforms to Working Together 2023 and National Children's Social Care Framework 2023, a new risk was identified within Children's Services. A range of controls are in place, with the establishment of a Director-led 'task and finish' group to ensure the Council is able to meet the deadline for a published plan to outline any changes ahead of the December 2024 deadline set by the Department for Education.

Ongoing risks:

- Cyber attack impact on CFS Service Delivery and Delays responding to Subject Access Requests: The cyber attack in October 2020 has meant that there are significant challenges for the Children and Families Service in terms of accessing historical information about children. The ongoing impact of the cyber attack has meant that care leavers have continued to experience delays in receiving their records (Subject Access Requests). A Data Protection Officer joined the organisation towards the end of 2023 and works closely with the Head of Service for Corporate Parenting in CFS. IMT is also now making use of an external company to support a more timely resolution of SARs. CFS are exploring with IMT and IT new digital products on the market which support the real time capture of key documents, shared with children and young people, in the hope that this will reduce the demand for SARs from care experienced people over time.
- Reduction of the use of residential placements: Budget pressures in relation to looked after children care arrangements remain. The additional and complex needs of some children with autism and other associated conditions can result in high-cost care arrangements. Locally, the service is focused on increasing the number of in-house foster carers which will reduce the average unit cost of care arrangements. Looked after children numbers have fallen steadily over recent years, from 432 at March 2020 to 387 at March 2024. The decrease in the number of looked after children is linked to a number of factors including a focus within the service on Edge of Care work to support children where there is a risk of family breakdown as well as changes to the Children's Resource Panel where there is senior management oversight of decisions for children to enter care. Work is also currently underway to scope the feasibility of opening new local authority children's homes for Hackney's

looked after children, which could prove to be a long-term cost avoidance measure.

- Service demands exceed available resources: One of the main risks for the directorate is the cost of living and fuel crisis - exacerbated by the ongoing conflicts in Ukraine and Gaza - and the potential impact these will have on the cost of service delivery going forward. It is difficult to estimate the impact that the cost of living crisis will have across services, however we can expect care providers to seek greater inflationary uplifts to care placements than previously. Robust budget monitoring processes are in place. These have highlighted significant cost pressures primarily in relation to packages of care in looked after children placements, staffing across Children & Families Services and SEND cost pressures within Hackney Education Services.
- Child or young person suffers significant harm, injury or death: The CHSCP have robust measures in place to ensure that statutory safeguarding requirements are met across the partnership. Supervision arrangements are in place for staff to ensure there is regular management oversight of children's cases and this data is reported and scrutinised regularly by the Director of Children and Families.
- Increased call on resources in respect of No Recourse to Public Funds (NRPF) cases: Hackney, like many local authorities, has a number of individuals living within its boundaries who are subject to immigration controls as defined by the Immigration & Asylum Act 1999. Such individuals are excluded from access to welfare benefits, public housing and Home Office asylum support and are collectively known as having No Recourse to Public Funds (NRPF). This group includes individuals who have overstayed their visa entitlement in the UK, and those who have leave to remain without recourse including EU Nationals. Hackney's approach is effective in protecting resources and avoiding costs. In order to ensure the service is able to undertake comprehensive assessments of children's needs in a complex environment of law relating to housing, immigration, human rights and child safeguarding, the service works closely with other services including the UKBA, legal services, government embassies and anti-fraud to ensure that services are appropriately provided to those that are entitled to them and need them. This joined-up approach robustly mitigates against the risk of children in Hackney being exploited or trafficked for services. In August 2020, the Home Office commissioned beds at the Old Street Holiday Inn to disperse asylum seekers, some of whom applied to be age assessed as children. Due to their location, the duty to assess falls on Hackney. Since then, the Home Office has commissioned three other hotels in Hackney to accommodate asylum seekers. Over time, a significant number of young people living in these hotels have disputed the Home Office assumption that they are adults and requested additional assessments of their age from the UASC team. Where the UASC assessments similarly conclude that these young people are adults, we have experienced a number of challenges of our

decision-making through the judicial process. The costs of each legal challenge can be very significant.

Hackney Education Risks

New risks

- Introduction of new policies for SEND Transport results in significant challenge and judicial review: This risk is being proposed in the context of the LA's plan to consult on new policies for SEND transport services. The LA is seeking Cabinet approval to consult on these new policies, with implementation expected for September 2025. Changes to SEND Transport often results in judicial reviews of local areas.
- Elective home education arrangements not meeting statutory obligations: Current resourcing means statutory obligations are not able to be met with 1FTE to oversee a cohort of over 300 children (with rising levels of complexities in SEND and CSC). An interim recovery plan/control measure is in place for this, and currently the Head of Service and other senior managers in the service with teaching qualifications are undertaking EHE assessments.
- Sustainability of the Council's Children's Centres: The current model of childcare provision delivered within Hackney's Children's Centres is not financially sustainable. It has been identified as a high area of spend and budget pressure in the Council's Medium Term Financial Plan.
- Family Hubs Programme Timeline and Resource Capacity: The family hubs programme faces risks related to its timeline and resource capacity. The availability of three-year funding hinges on meeting specific spending deadlines, with potential clawbacks threatening the program's progress. Delays in procurement, capacity issues, and gaps in senior leadership contribute to these risks.
- Emergency closure of a school due to lack of pupils, staff or funding: 66% of primary schools are predicted to have an in-year deficit in 2023/24. Reception class demand is predicted to fall from 2,284 in 2023 (actual) to 2,146 in 2026; a reduction of 138 (4.6 classes) on top of the existing surplus of 21%
- Vulnerable families are not adequately supported through the transition process of school closures/amalgamations: School closures will impact the most vulnerable Hackney residents disproportionately with higher FSM rates and other measures of deprivation observed in a majority of the schools proposed for or at future risk of closure. The Council has a responsibility to provide financial and emotional support to pupils and families through this period of uncertainty and change, to ensure families and children have the best possible transition to a new school.

- Increased risk of falling rolls in Secondary schools: There is now a visible impact of falling rolls at secondary transfer this year - 169 fewer on-time 1st preferences have been expressed for Hackney secondary schools. Competition from neighbouring boroughs e.g. Tower Hamlets that has also announced FSM to all secondary schools from April 2024. Schools in the borough may become more appealing to families given the cost of living crisis.
- Lack of resources to support implementation of future school closures leads to protracted process and greater costs: It is likely that more schools will need to close/merge. The resources required to support the proposal and implementation process alongside the existing implementation programme is high. If the implementation of school closures is protracted this will lead to a greater cost to the Local Authority.
- Sustained failure of Education's case management system (Synergy) caused by fragile IT infrastructure, inadequate data security and chronic under-resourcing results in a failure to deliver statutory and core education services and/or a detrimental Ofsted inspection rating in the light of poor data quality: The Synergy case management system provides business critical support to Hackney Education's statutory and financial services including SEND (EHCP), Admissions, Early Year payments and Attendance. Implementation and business as usual operations are facing significant risk as a result of under resourcing, infrastructure fragility, ICT delays, migration and implementation issues. If the migration or system experiences a significant problem or issue this will impact service continuity, potentially ceasing service activity. This may result in reputational damage and financial loss.

5.7 Key on-going risks to Hackney Education

5.7.1 Outlined below are the risks identified that continue to present a particular challenge to Hackney Education's continued effectiveness and are reported on the attached register:

- **SEND** - The 3 risks relating to SEND remain high: meeting the statutory requirements of the Children & Families Act; escalating budget pressures; and insufficient provision to meet growing demand for SEND services.
- **Traded Services** - The long term viability of trading continues to be a significant risk, in relation to revenue spend and generation of surplus; this is particularly impacted by falling rolls across schools in Hackney, which can potentially lead to a long term decline in traded services.
- **Serious safeguarding failure in schools & settings** - A failure of safeguarding systems and processes, through a lack of coordination between partnership-wide services or professionals, could contribute to a serious

safeguarding issue, which would impact negatively on Hackney Education's reputation.

- **Risks posed to children not in school, particularly those attending unregistered schools and settings** - Safeguarding considerations for those pupils who are not registered at a school – Electively Home Educated (EHE) pupils, children missing from education (CME), children attending unregistered settings, children who are yet to be allocated a school place etc. remains an area of high importance. There are effective processes in place, which enable HEd to effectively carry out duties in relation to EHE, CME and pupils attending UES. The risks associated in these areas, continue to carry high reputational risks for the borough, with limited options to mitigate.
- **Exclusion from school** - This remains a high profile area where rates of exclusion from schools continue to be relatively high when compared nationally.
- **Outcome of the SEND Local Area Partnership Ofsted inspection shows widespread/systemic failings, leading to significant concerns about Hackney CYP with SEND** - On the 13th June 2022 Ofsted and the Care Quality Commission consulted on a new inspection framework to reflect the changing landscape of the SEND system. It is expected that Hackney Local Area will be inspected in 2024, six years since its last inspection. To “pass” the new framework the local area must demonstrate that the last inspection findings have been discharged and the new framework focusing on impact on children, young people and families has been met. Subgroups of the SEND Local Area have been established to lead and monitor the 3 year action plan.

5.8. School Performance (4 Ofsted judgements)

5.8.1 School Standards and Improvement manages the following risks:

- Performance and/or quality of provision in nursery and primary school
- Performance and/or quality of provision in secondary schools
- Performance and/or quality of provision in special schools
- Performance and/or quality of provision in Pupil Referral Units

5.8.2 School Performance and Improvement teams continue to provide support to schools. The current controls in place remain appropriate and the risk rating remains unchanged.

6. COMMENTS OF THE GROUP DIRECTOR OF FINANCE AND CORPORATE RESOURCES

6.1 Effective risk management is a key requirement for good financial management and stability. This becomes more significant as funds available to the Council are reduced and budget reductions are made.

6.2 The Directorate seeks to mitigate risks as they are identified. In some instances, where there are volatile external factors and uncertainty, this will be through seeking access to reserves maintained by the Group Director of Finance and Corporate Resources.

6.3 There are no direct costs arising from this report.

7. COMMENTS OF THE DIRECTOR OF LEGAL, DEMOCRATIC AND ELECTORAL SERVICES

7.1 This report recommends that the Audit Committee note the contents of this report with the attached appendices. In accordance with Article 9.1.2 of the Council's constitution, the Audit Committee is responsible for assisting the Council in discharging its functions in relation to its risk management framework. The Accounts and Audit Regulations 2011 also require the Council to have a sound system of control which includes arrangements for the management of risk. This report is part of those arrangements and is designed to ensure that the appropriate controls are effective.

7.2 There are no immediate legal implications arising from this report.

APPENDICES

Appendix 1 – Children & Education risk register.

 CHILDREN & EDUCATION DIRECTORATE RISK REGISTER MARCH 2024

BACKGROUND PAPERS

None

Report Author	Kathryn Lloyd Head of Education Operations kathryn.lloyd@hackney.gov.uk 020 8820 7715
Comments on behalf of the Interim Group Director, Finance	Vernon Strowbridge Interim Director of Finance (Services) vernon.strowbridge@hackney.gov.uk 020 8356 8408
Comments of the Acting Director of Legal, Democratic and Electoral Services	Louise Humphreys Acting Director of Legal, Democratic and Electoral Services louise.humphreys@hackney.gov.uk 020 8356 4817

CHILDREN & EDUCATION DIRECTORATE RISK REGISTER

1. CHILDREN’S SERVICES RISKS

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note	
<p>C&E DR 001 Delays responding to Subject Access Requests EXTERNAL / INTERNAL RISK CURRENT RISK</p>	<p>There have been long-standing concerns raised by CFS about the timeliness of responses to Subject Access Requests, particularly those by care leavers, dating back many years. The statutory requirement is one month and these are managed by IMT (the Information Management Team). In February 2023, the CFS Director and a Leaving Care Practitioner were summoned to court due to an outstanding SAR by a care leaver (through his legal representative) made in Aug 2022. The absence of the care leaver’s file has significantly delayed a criminal trial they were involved in.</p>	Children and Education		<p>March 2024 update: At the time of the cyber attack in October 2020, CFS understood that there were 15 outstanding care leavers SARs to be processed, with the oldest dating back to July 2019.</p> <p>The cyber attack in October 2020 meant no progress could be made on these throughout 2021. In 2022, work began in the Information Management Team (IMT) to progress these and we understand that as of early 2023 most had been completed and shared, with progress made on all.</p> <p>As of the beginning of March 2024, there were 41 open SARs in relation to CFS, 8 of which belonged to care leavers. Of the 8 belonging to care leavers: 1 had been open less than a month; 1 had been open since December; 5 had been open since October; and 1 had been open since August.</p>	
Control Title	Control Description	Lead Responsible Officer(s)	Service Manager	Due Date	Control - Latest Note
<p>C&EDR 001a Delays responding to Subject Access Requests</p>	<p>Requests have been made by CFS for information about any SARs made by care leavers since early 2023, with update reports to be shared on a regular basis.</p>	Jacquie Burke	Diane Benjamin	12/9/23	<p>March 2024 update: Although there have been significant improvements over time - particularly since the current Data Protection Officer joined the organisation towards the end of 2023 - the Information Management Team (IMT) continue to struggle to meet timescales.</p> <p>The Head of Service for Corporate Parenting in CFS now has access to a live report on open SARs and, once a month, flags any new requests from care leavers.</p>

					<p>The Data Protection Officer is currently working with the Head of Service for Corporate Parenting and other key stakeholders in CFS to clarify processes in relation to SARs, for example agreeing that IMT will begin meeting their statutory responsibility to provide care leavers with updates in relation to any delays. IMT is also now making use of an external company to support a more timely resolution of SARs.</p> <p>CFS are exploring with IMT and IT new digital products on the market which support the real time capture of key documents, shared with children and young people, in the hope that this will reduce the demand for SARs from care experienced people over time.</p> <p>These controls will be assessed throughout 2024/25.</p>
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>C&E DR 002 Reduction of the use of residential placements EXTERNAL / INTERNAL RISK CURRENT RISK</p>	<p>The main areas of pressure for Children and Family Services continue to be on looked-after children (LAC) and leaving care (LC) care arrangements costs. Corporate Parenting is forecast to overspend by £2.8m after the use of £2m commissioning reserves (as at February 2023), largely driven by a change in the profile of care arrangements linked to the complexity of care for children coming into the service. There are also more children within high cost bespoke packages than in previous years and this has caused upward pressure on cost for the service this financial year. At the start of this financial year we have seen a reduction in the use of residential care arrangements, however the costs are increasing in residential care and semi-independent care arrangements due to care providers being faced with the challenges of rising</p>	<p>Children and Education</p>		<p>March 2024 update: One of the main risks for the directorate is the cost of living and fuel crisis - exacerbated by the ongoing conflicts in Ukraine and Gaza - and the potential impact these will have on the cost of service delivery going forward. It is difficult to estimate the impact that the cost of living crisis will have across services, however we can expect care providers to seek greater inflationary uplifts to care placements than previously.</p>

Control Title	Control Description	Lead Responsible Officer(s)	Service Manager	Due Date	Control - Latest Note
<p>Page 37</p> <p>CE DR 002a Reduction of the use of residential placements</p>	<p>inflation and the cost of living crisis. The risk relates to the increasing financial pressures this is placing on the Council.</p> <p>Management actions of £1.5m have been identified and these are factored into the forecast when delivered. These include reductions in the number of residential care arrangements. A forensic review of the top 20 high cost care arrangements; As part of the forensic analysis of residential care arrangements, the service is targeting a reduction of five residential care arrangements (costing on average £200k per annum, per placement).</p>	Jacquie Burke	Diane Benjamin	31/6/23	<p>March 2024 update: Although the budget target was identified in relation to the use of residential care arrangements, it has not been possible to achieve this in the context of current market conditions. The Corporate Parenting Service is projected to be overspent by £4 million at the end of March 2024, primarily due to the cost of residential care arrangements.</p> <p>Budget pressures in relation to looked after children care arrangements remain despite further allocation of growth in 2022/23 for looked after children care arrangement costs. This reflects a change in profile of need, associated with a greater number of adolescents with high levels of need and a change in the profile of placements (more independent fostering agency fostering care arrangements, less in-house, as well as increased use of residential care arrangements). The additional and complex needs of some children with autism and other associated conditions can result in high-cost care arrangements. Locally, the service is focused on increasing the number of in-house foster carers which will reduce the average unit cost of LAC care arrangements.</p> <p>Looked after children numbers have fallen steadily over recent years, from 432 at March 2020 to 426 at March 2021, to 406 at March 2022, to 391 at March 2023 to 387 at March 2024. This is being monitored by leaders. The decrease in the number of looked after children is linked to a number of factors including a focus within the service on Edge of Care work to support children where there is a risk of family breakdown as well as changes to the Children’s Resource Panel where there is senior management oversight of decisions for children to enter care. The Panel has been refreshed to offer a higher level of respectful challenge and high support, with a focus on mobilising resources to step in to a family and reduce harm, keeping children at home where possible,</p>

				<p>enabling us to be more confident that we have the right children in our care.</p> <p>Following a successful pilot during 2021 and 2022, an Edge of Care Team has been permanently established within CFS. This multidisciplinary team, which is both clinically informed and aligned with Hackney’s STAR (systemic, trauma-informed and anti-racist) approach, provides support to families at the point of acute crisis to proactively reduce the likelihood of children requiring accommodation by the local authority.</p> <p>The Fostering Service is also a partner in the North East London Residential Commissioning Group – looking to improve the quality and reduce the cost of residential placements to meet young people’s needs. Hackney is part of a group of local authorities in North East London, with Havering Council as the lead borough, working on a project to develop a sub-regional approach to commissioning children’s homes. There are currently 3 Hackney children placed in children’s homes run by the Group (as at March 2022).</p> <p>There are now 3 Hackney Villages constellations of linked foster families (formerly known as Mockingbird constellations), which promote the stability of foster care arrangements through enabling the development of supportive links between communities of six to ten ‘satellite’ families to form a constellation. Strong relationships with others in their constellation helps individual foster families overcome problems before they escalate or lead to breakdown, which can result in a need for a residential care arrangement.</p> <p>Actions are also being taken to ensure our leaving care cohort are placed in appropriate and cost-effective settings, through, for example, recommissioning of the Young People’s Housing Pathway.</p> <p>Work is also currently underway to scope the feasibility of opening new local authority children’s homes for Hackney’s looked after children, which could prove to be a long-term cost avoidance measure.</p>
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
C&E DR 003 Management of Partnership Agencies in ensuring the wellbeing of children	Potential problems in the management, communication, delivery and shared objectives of different partners which could then negatively impact on a child's wellbeing as well as the Council's reputation.	Children & Education		<div style="text-align: center;"> </div> <p>Joint risk between Children and Families Service and Hackney Education</p> <p>March 2024 update: Publication of the Child Safeguarding Practice Review (CSPR) in March 2022 in relation to the experience of Child Q, followed by the update report, titled 'Why was it me?', in June 2023. Both publications analyse the impact for Child Q, her family and staff, as well as exploring wider issues across the local child safeguarding partnership, particularly in relation to the police and schools. Each publication includes recommendations and responses by the Children and Education Directorate, as well as the wider partnership response.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
C&E DR 003a - Safeguarding first approach.	Children and Education take a safeguarding first approach - with clear anti-racism values and identification training and a 'my child' mindset.	Jacquie Burke	Paul Senior and Diane Benjamin	Ongoing	<p>March 2024 update: Partnership response - Following publication of the original CSPR in March 2022, the Mayor, Deputy Mayor Bramble, Cllr Fajana-Thomas and Chief Executive wrote to the Metropolitan Police about the treatment of Child Q and the need to tackle institutional racism. The most senior officers in the Met Police have been involved in developing their actions and they say they are committed to becoming an anti-racist organisation.</p> <p>The original CSPR published in March 2022 detailed actions needed by all partner agencies in response to the incident and the Children and Education leadership team are working closely with the Group Director to develop a comprehensive plan that involves support to the family, support to our children in schools, support for staff and the wider community engagement around recovery and impetus for change. The update report, 'Why was it me?', published in June 2023 focused on the implementation of the review's recommendations and the range of activity that was generated as a consequence of Child Q's experiences. The update report - which also included the voices of children, parents, carers and community networks affected by the incident - concluded that concerns about safeguarding, racism and disproportionality extend to all statutory services, and that all bodies and organisations need to work together in a coordinated way to embed change.</p>

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<p>Page 40</p>				<p>In July 2020, the Children and Families Services committed to create and implement our anti-racist action plan. Our Anti-Racist Position Statement makes clear the journey we need to take as a service to improve the experience of the children and families of Hackney who are disproportionately affected by racism, as well as the experience and progression of staff. A new Anti-Racist Strategic Lead started in role in the Children and Families Service in June 2021 and was joined in October 2022 by an Interim Anti-Racist Programme Manager and in January 2023 by an Anti-Racist Practitioner for Children and Families. These roles will steer and champion the work of the Anti-Racist Action Plan and will lead on the rollout of Anti-Racist Practice Standards across all areas of the service. The Anti-Racist Praxis Conference hosted by Children and Education in May 2022 was recognised for its innovation after winning the Workforce Development Award at the Children & Young People Now Awards 2022. In March 2023, a new Racial Equality and Inclusion Service was established within the Children and Education Directorate. The former Anti-Racist Strategic Lead was appointed as the Head of Service for the new service and was joined there by the existing Interim Anti-Racist Programme Manager and Anti-Racist Practitioner, as well as a newly appointed Senior Projects and Policy Officer. The Racial Equality and Inclusion Service led on the organisation of the Council-wide Anti-Racism Summit that took place across October and November 2023.</p> <p>In July 2023, Met Commissioner Mark Rowley and Detective Chief Superintendent James Conway spoke to and took questions from Hackney residents and community groups at Mornington Community Centre. DCS Conway publicly acknowledged that, in Hackney, there has been 'over policing and under-protecting of black and other minoritised communities', and that the Police have 'learnt important lessons' from what happened to Child Q. In October 2023, DCS Conway spoke at the opening conference of the Council-wide Anti-Racist Summit and reaffirmed his commitment to addressing racism in the Met's Central East area BCU, which covers both Hackney and Tower Hamlets, and for which he is Borough Commander. DCS Conway has established a new governance structure on the East Area BCU which is focused around three Boards - Operations, People, Trust and Confidence. This will position the ongoing work of building trust and confidence in policing for local communities at the centre of the BCU. The Trust and Confidence Board will begin with 5 initial thematic areas: children first; stop and search; education; mental health; and comms and engagement. The Trust and Confidence Board will be informed by a community Trust and Confidence Shadow Board, composed of Hackney and Tower Hamlets community partners, who</p>
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<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 41</p>				<p>will be represented at the main Board to ensure a community voice where decisions are taken.</p> <p>Hackney Education has extended its training session for Designated Safeguarding Leads in Hackney schools to include a 3-day session, with relevant local agencies presenting, as well as key internal services (such as Contextual Safeguarding colleagues and the Community Gangs team). The offer to new headteachers in Hackney has also been expanded to include a new programme of support. Additionally, the safeguarding offer to Hackney school governors has been developed to include a specific session around delivering excellent safeguarding governance (rather than the focus being just on identification of harm in children through direct contact with them). Alongside this, the Hackney Education Link Safeguarding Governor’s Handbook has been published, providing a model safeguarding governance calendar, as well as examples of how to understand disproportionality as racism (where relevant) and how to begin to tackle it. This approach is designed to strengthen core safeguarding capacity in Hackney’s schools and to ensure a multi-agency input to help schools to understand and make decisions with the best, most up-to-date information available.</p> <p>The City & Hackney Safeguarding Children Partnership (CHSCP) commissioned a half-day online training course on the topic of Adulthood - whereby professionals are less protective and more punitive towards Black and Global Majority children - which has recurred at a monthly frequency, providing regular opportunities for staff from the Children and Education directorate, and from partner agencies including the Police, to explore these issues together.</p> <p>Learning response to police in schools: when a child is arrested at school, or police are called out to a school, a rapid learning session will be held, including Education, Police and Safeguarding colleagues at a minimum. Review of how schools work with police to be initiated. The Met Police promised a review in April 2020 of safer schools - we need a local review and a local response. Also need a rapid learning system for whenever BCU police arrest a child on school premises or attend a school following a call out - this may need to operate for a 12 month period.</p> <p>Headteachers have agreed a safeguarding and anti-racist statement which will act as a starting point for work across all schools, particularly secondary schools.</p>

<p>C&E DR 003b</p>	<p>Communication strategy following publication of Child Q C SPR and response by national media.</p>	<p>Jacquie Burke</p>	<p>Paul Senior Diane Benjamin And Jennifer Riley-Harrison</p>	<p>Ongoing</p>	<p>March 2024 update: Drop-in sessions for staff, and staff peer support sessions, were held following the publication of the original C SPR in March 2022. In line with the staff comms and engagement plan, fortnightly all-staff briefings took place until July 2022.</p> <p>To support the publication of the update report, 'Why was it me?', in June 2023, a 15-minute video summary was produced and shared with staff, while a dedicated page on the Council's intranet provided further information and support, including access to racialised trauma counselling delivered by the Black Wellbeing Collective.</p>
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>Page 42</p> <p>C&E DR 004 Service demands exceed available resources</p>	<p>The directorate needs to manage demand within an ongoing climate of reducing resources. If demand is not managed, this could compromise service delivery. The department's services continue to experience fluctuating demand, which can add to resource pressures. In addition, services need to be able to respond to new and emerging priorities.</p>	<p>Children's Services</p>		<p style="text-align: center;"></p> <p>March 2024 update: While there has been a steady decrease in the number of looked after children over the last few years (-6% in the year to March 2022, -3% in the year to March 2023, and -3% in the first three quarters of the current reporting year), the profile of looked after children has changed significantly over the same period, with more adolescents presenting complex behaviours and needs entering the care system and subsequently receiving support as care leavers. The change in profile of looked after children is placing increased pressure on the care arrangement budget, with a need for more specialised care arrangements, and is also making care arrangement stability more difficult to achieve. Children aged 16+ will have additional needs that correspond to the associated risks for their age group, including exploitation. The ongoing shortage of in-house foster carers for these older children adds to the cost pressure and the numbers of children requiring more expensive residential care arrangements have increased.</p> <p>The legislative changes that provide care leaver support to age 25 (from April 2018) came with insufficient additional funding from the Government.</p> <p>The specialist No Recourse to Public Funds (NRPF) Team continues to carefully manage the demand for high-cost NRPF cases. Southwark Judgement, LASPO legal aid and unaccompanied asylum</p>

				<p>seeking children (UASC) continue to bear cost pressures for 16- and 17-year-olds who are afforded looked after child status due to homelessness, remand or asylum claim. Hackney was caring for 19 UASC as at December 2023.</p> <p>Demand for statutory children’s social care in Hackney has increased over the last few years. Contacts have risen +7% in the year to March 2022, +17% in the year to March 2023, and +3% in the year to March 2024 (projected from the first three quarters of the current reporting year). Despite the increasing volumes, the conversion rate of contacts progressing to a referral has remained stable over the last few years, ranging only between 26% and 29%. This is likely to be linked to the changes driven by the Front Door Review, including improved early help pathways through the successful embedding on an ‘Early Help Hub’ within the Multi-Agency Safeguarding Hub (MASH), which ensures that children and families are able to get the right support for them, as quickly as possible. Children in need of help and protection receive a timely response from the MASH.</p>
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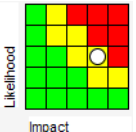

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
C&E DR 004a Clearly defined protocols for referral to services.	Written protocol for referral to services agreed with all partner agencies. Review of FAST to further strengthen multi-agency decision-making and effective hand-off to early help services	Jacquie Burke	Diane Benjamin	Ongoing	<p>March 2024 update: Our Multi-Agency Safeguarding Hub (MASH) operates as a single point of contact for members of the public and professionals who are seeking advice and information, and/or who want to make a request for support for a child in Hackney who may be in need of help or protection. Referrals are screened for a next step decision within 24 hours. MASH considers the information available across a range of co-located agencies to make timely and safe decisions about which agency is best placed to access and/or meet the needs of children and young people. This function is supported by the Hackney Child Wellbeing Framework and the Local Assessment Protocol, both of which provide guidance both to CFS staff and to our multi-agency partners on appropriate responses to various different levels of need.</p> <p>Replacing FAST in response to the Front Door Review, the Hackney MASH was launched in July 2021, bringing Hackney in line with other authorities across London. The</p>

				<p>MASH continues to operate the professional consultation line initiated by FAST, through which designated leads from partner agencies seek advice and guidance on whether to make referrals for children’s social care services. MASH processes focus on better informed multi-agency decision making so that children and families get the right service at the right time, with a joint mission across the partnership to reinforce the respectful and consistent application of seeking consent from children and families, and a focus on proportionate assessment with a clear commitment and emphasis on clear and streamlined pathways to services. The MASH now includes an Education representative - strengthening information sharing and joint decision making - as well as an Early Help hub, ensuring that children and families receive the appropriate level of intervention for their particular needs and do not undergo a statutory intervention unless relevant thresholds are evidently met.</p>
<p>Page 44</p> <p>C&E DR 004b Children's social care services assess risk to differentiate and prioritise need and refer appropriately</p>	<p>All referrals to Children's Social Care need to be appropriately assessed to ensure that the child and their family receive the most appropriate service.</p>	<p>Jacquie Burke</p>	<p>Diane Benjamin</p>	<p>Ongoing</p> <p>March 2024 update: Replacing FAST in response to the Front Door Review, the Hackney MASH was launched in July 2021, bringing Hackney in line with other authorities across London. The MASH continues to operate the professional consultation line initiated by FAST, through which designated leads from partner agencies seek advice and guidance on whether to make referrals for children’s social care services. MASH processes focus on better informed multi-agency decision making so that children and families get the right service at the right time, with a joint mission across the partnership to reinforce the respectful and consistent application of seeking consent from children and families, and a focus on proportionate assessment with a clear commitment and emphasis on clear and streamlined pathways to services. The MASH now includes an Education representative - strengthening information sharing and joint decision making - as well as an Early Help hub, ensuring that children and families receive the appropriate level of intervention for their particular needs and do not undergo a statutory intervention unless relevant thresholds are evidently met.</p> <p>Our Multi-Agency Safeguarding Hub (MASH) operates as a single point of contact for members of the public and</p>

<p>Page 45</p>				<p>professionals who are seeking advice and information, and/or who want to make a request for support for a child in Hackney who may be in need of help or protection. Referrals are screened for a next step decision within 24 hours. MASH considers the information available across a range of co-located agencies to make timely and safe decisions about which agency is best placed to access and/or meet the needs of children and young people. This function is supported by the Hackney Child Wellbeing Framework and the Local Assessment Protocol, both of which provide guidance both to CFS staff and to our multi-agency partners on appropriate responses to various different levels of need.</p> <p>A multi-agency Daily Risk Meeting was implemented in early October 2021. This meeting is well attended by agency colleagues including Education, Adult Services, Probation, Police, Health and Housing. Our work on consent / reinforcing partnership responsibility and the consultation line is also impacting on improving the quality and reducing the volume of contacts / referrals. The ongoing development of the Early Help hub will help ensure that families are able to access the right service at the earliest possible opportunity and a consistency of approach across the Council (in terms of access to targeted Early Help support).</p> <p>Children’s social care undertakes all statutory assessments for children in relation to need, harm and risk and produces clear plans for protection and support in partnership with a wide range of partner agencies.</p> <p>In April 2022, CFS resumed the use of Mosaic for the first time since the criminal cyber attack in October 2020. In July 2022 our digital maturity journey reached another milestone with the resumed use of live reporting tools provided by Qlik Sense, enabling managers once again to closely monitor performance in real time to drive improvement in what we achieve for children. Work on the recovery of historical records has now come to an end with all historical records either stored within Mosaic or Google drive, ensuring that complete information on children’s histories is available to CFS staff.</p>
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CHILDREN & EDUCATION DIRECTORATE RISKS

<p>C&E DR 004c Identify contingency funding</p>	<p>Additional funding to be identified to ensure Directorate can respond quickly to increased demand for services</p>	<p>Jacquie Burke</p>	<p>Diane Benjamin/ Naeem Ahmed</p>	<p>Ongoing</p>	<p>March 2024 update: The NRPf team has made effective use of both Home Office and legal advice through an independent provider to assist families to achieve settled status in a timely way, reducing the burden on public funding.</p> <p>While CFS has had success at reducing the overall number of looked after children, the complexities of presenting need combined with structural difficulties in the care market mean that the cost of care arrangements for some children continue to create significant financial pressures. Although some additional funding has been made available through the Social Care Grant, the commissioning of bespoke care arrangements required to keep some of our most vulnerable children safe continues to result in an escalation of cost overall.</p>
<p>C&E DR 004d Minimise impact of efficiency savings on frontline services</p>	<p>To ensure we can respond to any increases in demand, we aim to manage efficiency savings to ensure minimal impact on frontline services</p>	<p>Jacquie Burke</p>	<p>Naeem Ahmed/ Diane Benjamin</p>	<p>Ongoing</p>	<p>The Directorate has successfully delivered or mitigated the majority of agreed savings to date, and are putting appropriate measures in place to deliver the savings for 2024/25. The service worked with finance in the year to develop an agreed set of management actions to reduce cost pressures across the service. The intention is that regular reporting against this plan will take place at the Budget Board (co-chaired by the Group Director - Finance and Resources and the Group Director - Children & Education Services).</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>C&E DR 005 Cyber attack impact on CFS Service Delivery</p>	<p>The cyber attack has meant that CFS has lost access to case recording and document storage systems which hold historical information about families. Lack of access to this data could mean that decisions are made about children without their full history being known.</p>	<p>Children & Families Service</p>		<p style="text-align: center;"></p> <p>March 2024 update: The cyber attack on 12th October 2020 created significant challenges for the Children and Families Service in terms of accessing historical information about children. The attack meant that CFS lost access to Mosaic, the social care database which holds all records about children and families.</p>

<p>Page 47</p>			<p>Services affected:</p> <ul style="list-style-type: none"> • Referrals to Children and Families Service • Ongoing work with children and families receiving statutory and universal services • Court work in relation to children and families • Referrals to the Domestic Abuse Intervention Service • Ongoing and new complaints investigations • Payments to Foster carers • Payments to some of our suppliers <p>Systems affected:</p> <ul style="list-style-type: none"> • Mosaic (Children and Families case recording database) • Childview (Youth Justice database) - this is still available as a stand alone system, but does have some links to Mosaic which have been affected • EdoCFS - the document storage system which links to both our social care and Youth Justice databases, as well as a number of other systems. • The IKEN case management system used by our Legal Service colleagues is also inaccessible <p>In the immediate aftermath of the cyber attack, staff were unable to access any historical case file information or reporting data on Mosaic, so an interim case management system was established while work was done with the service provider to recover the lost information.</p> <p>Following a decision in October 2021 to restore Mosaic, a complex programme began that involved migrating records from the interim system, matching historic records, developing cyber security with a new cloud-based system, and training all staff on the new version of Mosaic.</p> <p>In April 2022, CFS returned to Mosaic and in July 2022 the use of live reporting tools provided by Qlik Sense resumed, enabling managers once again to closely monitor performance in order to know what we are achieving for children. Work continues on recovering some historical information that is still to be restored and this impacts records on both Mosaic and ChildView. There is a clear improvement here compared to a year ago, which vindicates a reduction in the risk score.</p>
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Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
C&E DR 005a Restoration of historical social care information	Restoration of historical social care information to ensure children’s histories are understood	Jacquie Burke	Diane Benjamin	Ongoing	<p>March 2024 update: In April 2022, CFS resumed the use of Mosaic for the first time since the criminal cyber attack in October 2020.</p> <p>Work on the recovery of historical records has now come to an end with all historical records either stored within Mosaic or Google drive, ensuring that complete information on children’s histories is available to CFS staff.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>Page 48</p> <p>C&E DR 006 Child or young person suffers significant harm, injury or death</p>	Children and young people who use our services are at higher than usual risk of harm, injury or death. If risks are not adequately assessed and protected, a child or young person could suffer significant injury or death attributable to the Directorate's failure to take appropriate safeguarding and risk management measures.	Children & Families Service		<p style="text-align: center;"></p> <p>This remains a high risk, and controls are in place to manage this.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
C&E DR 006a Local Safeguarding Children Partnership (LSCP) reviewed and operating as an effective multi-agency forum.	The City & Hackney Safeguarding Children Partnership (LSCP) has a remit to monitor safeguarding across all partner agencies, including the local authority.	Jacquie Burke	Rory McCallum	Ongoing	<p>March 2024 update: A range of measures have been put in place to ensure the CHSCP is operating as an effective multi-agency forum. Independent chairing is in place, defined governance arrangements, regular attendance from partners at Executive and relevant sub / working groups and Hackney-specific self-assessment. CHSCP also maintains a risk register covering all key statutory requirements; these actions and progress are</p>

					regularly reviewed through the CHSCP Executive and full CHSCP.	
Page 49	CYP DR 003 D Ensure staff have the necessary skills to ensure risk and needs are properly assessed	The Directorate as a whole understands areas of high risk and works together to mitigate risk in relation to individual children by joint training and development and joint monitoring of practices across the services.	Jacquie Burke	Diane Benjamin	Ongoing	<p>March 2024 update: Individual case supervision between managers and allocated social workers is the mechanism that ensures that children are safe and plans for them are progressing in timescales that meet their needs. Supervision timescales are monitored as a key deliverable by senior leaders in regular data reports and these are also scrutinised at the monthly Improving Outcomes for Children Board.</p> <p>Work is currently underway to update the appraisal format and to develop an additional reflective group supervision model that will enable sharing of best practice and encourage collective problem-solving.</p> <p>A Workforce Development hub established in the Safeguarding and Quality Assurance service to ensure that staff training needs are met and prioritised in terms of urgency.</p>
	CYP DR 003 E Child Protection procedures in place	Children subject to Child Protection Plans and Looked After Children are visited in line with statutory guidance & care plans are monitored, updated and amended as appropriate. Children are to be seen alone.	Jacquie Burke	Diane Benjamin	Ongoing	<p>March 2024 update: Ongoing, monitored through management oversight and audit, monthly, quarterly and annual performance reports, including statutory returns to DfE and by Independent Reviewing Officers. There is also clear oversight of performance, including scrutiny and challenge of data reports, at the monthly Improving Outcomes for Children Board.</p> <p>In April 2022, CFS resumed the use of Mosaic since the cyber attack in October 2020. In July 2022 our digital maturity journey reached another milestone with the resumed use of live reporting tools provided by Qlik Sense, enabling managers once again to closely monitor performance in real time to drive improvement in what we achieve for children.</p>

CYP DR 003 F Risk assessing activities for young people	All activities directly provided and commissioned by the directorate must be subject to rigorous risk assessments.	Jacquie Burke	Diane Benjamin	Ongoing	<p>March 2024 update: All providers of proposed activities, including the local authority, are required to submit a written risk assessment which is scrutinised and approved / not approved by the service area. Where a risk assessment is not approved, the activity is not able to proceed. Minimum ratios of adults to young people are required.</p> <p>The local authority's physical assets are subject to regular health and safety testing, ensuring the safety and wellbeing of children and young people on the premises. These checks include annual certification of play structures, daily staff checks of play structures, annual fire evacuations and risk assessment, quarterly checks of fire extinguishers, weekly tests of fire alarms and annual portable appliance testing.</p> <p>Our external commissioned providers are also expected to demonstrate that they meet health and safety standards as part of their contract including systems and processes for conducting risk assessments of premises and activities.</p>
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>C&E DR 007 Increased call on resources in respect of No Recourse to Public Funds (NRPF) cases</p>	<p>The Council might be unable to handle the increased call in NRPF cases. Children's Social Care has a duty to assess children's needs under section 17 of the Children Act 1989 if they are at risk of homelessness or destitution, even if their parent has no legal entitlement for services in the UK.</p>	<p>Children & Families Service</p>		<p style="text-align: center;"></p> <p>March 2024 update: Hackney, like many local authorities, has a number of individuals living within its boundaries who are subject to immigration controls as defined by the Immigration & Asylum Act 1999. Such individuals are excluded from access to welfare benefits, public housing and Home Office asylum support and are collectively known as having No Recourse to Public Funds (NRPF). This group includes individuals who have overstayed their visa entitlement in the UK, and those who have leave to remain without recourse including EU Nationals. Hackney's approach is effective in protecting resources and avoiding costs.</p>

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
<p>C&E DR 007a Robust assessment process in place.</p>	<p>To provide a comprehensive assessment and safeguarding service to this vulnerable group of children, additional resources were established in Children’s Social Care to assess the specific needs of families with no recourse to public funds. The No Recourse to Public Funds Team was formed in 2012 as a pilot service but has now been embedded alongside the Access & Assessment Service in Children’s Social Care.</p>	<p>Jacquie Burke</p>	<p>Diane Benjamin</p>	<p>Ongoing</p>	<p>March 2024 update: The issues relating to NRPF families presenting as destitute are often complex and the service recognises that there are many reasons why families may find it difficult to share information. Migrant children may be at risk of child trafficking, exploitation and fraudulent activities.</p> <p>In order to ensure the service is able to undertake comprehensive assessments of children’s needs in a complex environment of law relating to housing, immigration, human rights and child safeguarding, the service works closely with other services including the UKBA, legal services, government embassies and anti-fraud to ensure that services are appropriately provided to those that are entitled to them and need them. This joined up approach robustly mitigates against the risk of children in Hackney being exploited or trafficked for services.</p>
<p>C&E DR 007b Cross-London management arrangements for unaccompanied asylum seeking children.</p>	<p>The Pan London unaccompanied asylum seeking children (UASC) dispersal rota is a voluntary arrangement that is supposed to operate in equal distribution order. There has been a recent drive across all London authorities to ensure that each borough takes their turn on the rota in the wake of a number of authorities having withdrawn over the past year. The withdrawal from some authorities had a negative impact of increasing the numbers of UASC being dispersed to Hackney. The government have introduced a National Transfer Scheme under which authorities will be expected to accept UASC up to the equivalent of 0.07% of their child population, after which they will be able refer young people to the NTS</p>	<p>Jacquie Burke</p>	<p>Diane Benjamin</p>	<p>Ongoing</p>	<p>March 2024 update: The rota is managed by London Borough of Croydon and monitored by the London Assistant Directors’ Group. The National Transfer Protocol set the maximum UASC population of each local authority at 0.1% of their total child population. The number of UASC in Hackney has significantly decreased, from 32 at the end of December 2022 to 19 in March 2024.</p> <p>Hackney was successful in applying for additional funding from the Government to provide additional support to our UASC through the Controlling Migration Fund in 2019 and set up a specialist UASC unit to better support young people’s needs in this area. Following the ending of the funding at March 2021, CFS have maintained the Personal Advisor recruited through this project within the UASC team; the Personal Advisor works with young people who were unaccompanied minors who have not yet gained leave to remain in the UK.</p>

					<p>In August 2020, the Home Office commissioned beds at the Old Street Holiday Inn to disperse asylum seekers, some of whom applied to be age assessed as children. Due to their location the duty to assess falls on Hackney. Since then, the Home Office has commissioned three other hotels in Hackney to accommodate asylum seekers. Over time, a significant number of young people living in these hotels have disputed the Home Office assumption that they are adults and requested additional assessments of their age from the UASC team. Where the UASC assessments similarly conclude that these young people are adults, we have experienced a number of challenges of our decision-making through the judicial process. The costs of each legal challenge can be very significant.</p>
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>Page 52</p> <p>C&E DR 008 NEW RISK Changes to statutory requirements</p>	<p>The Council might not, by the deadline of 20 December 2024, have sufficiently responded to the Government’s reforms to children’s social care as set out in the revised statutory guidance, <i>Working Together to Safeguard Children 2023</i>, and the new statutory <i>Children’s Social Care National Framework</i>.</p>	<p>Children & Families Service</p>		<p>NEW RISK - March 2024</p> <p>Additional guidance issued alongside the updated <i>Working Together 2023</i> and the new <i>National Framework</i> sets out the following expectations of Councils in response to the new statutory requirements:</p> <ul style="list-style-type: none"> • Enable everyone in the local area who provides children and families with support to read <i>Working Together 2023</i> and understand what the changes mean for their practice; • Reflect on how to strengthen multi-agency working across the whole of help, support and protection for children and their families; • Review current local arrangements and identifying what improvements and reforms need to be made to comply with statutory guidance; • Publish updated arrangements in December 2024.

Control Title	Control Description	Responsible Officer	Service Manager	Due Date	Control - Latest Note
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<p>C&E DR 008a</p>	<p>Work is underway to understand the changes to statutory requirements and ensure a suitable response.</p>	<p>Jacquie Burke</p>	<p>Diane Benjamin</p>	<p>20/12/24</p>	<p>A detailed briefing, summarising the reforms contained in the new statutory guidance, has been produced and shared with leaders across the Children and Families Service.</p> <p>Staff in the Quality Assurance and Improvement Team have attended several Department of Education-hosted webinars on the reforms to gather any supplementary information.</p> <p>Work will continue throughout 2024 to clarify what changes Children and Families Service will be required to make in response to the reforms, ready to produce an implementation plan by the deadline of 20 December 2024.</p>
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Page 23
2. Hackney Education Risks

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>Sustained failure of Education's case management system (Synergy) caused by fragile IT infrastructure, inadequate data security and chronic under-resourcing results in a failure to deliver statutory and core education services and or a detrimental Ofsted inspection rating in the light of poor data quality.</p>	<p>The Synergy case management system provides business critical support to Hackney Education's statutory and financial services including SEND (EHCP), Admissions, Early Year payments and Attendance.</p> <p>For example, 3300 children's EHC plans are maintained in part through Synergy. The work to oversee the circa 570 new requests for statutory educational assessments is also completed within Synergy. And each year over 5000 transfers into Reception and Secondary schools are facilitated via Synergy. Furthermore the FIS module supports the Council's distribution of £32 million early years funded entitlement to early years settings supporting disadvantaged and working families in the borough every year. And a little over 13 thousand children gain access to free school meals thanks in part to Synergy.</p>	<p>Children and Education</p>		<p>Controls to address this risk remain delayed and off track and as a result the risk profile has increased. Senior leadership in Hackney Education have requested that the risk be escalated to the Corporate Risk Register.</p>

	<p>Implementation and business as usual operations are facing significant risk as a result of under resourcing, infrastructure fragility, ICT delays, migration and implementation issues.</p> <p>If the migration or system experiences a significant problem or issue this will impact service continuity, potentially ceasing service activity. This may result in reputational damage and financial loss.</p>			
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Control Title	Control Description	Service Manager	Control - Latest Note
<p>Page 54 Fragile infrastructure 01: On-premises infrastructure enhancements</p>	<p>The on-premises infrastructure is ageing and unable to sufficiently support Synergy. The databases are sitting on old, obsolete and degraded servers. This has resulted in users being unable to log into the system or key functionality being intermittently available.</p> <p>An ICT infrastructure architect funded by resources secured by the Project Sponsor is working to improve the infrastructure resilience and performance in the short-term while a longer term (hosting) solution is progressed (see below).</p>	<p>Colin Cowdrey, Head of Colleague Experience</p>	<p>Work to improve the resilience and performance of the on-premises infrastructure has continued.</p> <p>The compute portion of an enhanced infrastructure has been assembled as has the networking element. A few issues have been encountered. For example, the updating of firmware and access requirements. These are being worked on. Furthermore, a solution to the storage requirement is also in progress. In short, a sample disk is being tested. If the testing is successful, the racks will be populated with new disks and the storage solution will be fully operational.</p> <p>However, this is taking longer than had been anticipated. It is expected to be completed before the Christmas closure period.</p> <p>Currently, there is real vulnerability at the Tomlinson Centre site should one or both servers fail. However, the situation would not be catastrophic if one server was to fail at the Tomlinson Centre. The situation is worse at 1 Reading Lane where there is no redundancy (spare capacity), and if a single server were to fail the issue could be catastrophic.</p>
<p>Fragile infrastructure 02: Move to hosted solution for Synergy</p>	<p>The long-term solution to resolve the infrastructure risks is to move the Synergy infrastructure to a hosted environment.</p> <p>The Technical Design Authority (TDA) agreed that the databases should be moved to Access UK Ltd's hosted solution in June 2022. An ICT project team was established</p>	<p>Hannah Pidgeon, Senior Project Manager (Access UK Ltd)</p>	<p>The TDA has approved in principle MFA solutions for each route to the data. The ICT Hosting project team is now looking to find when Access UK Ltd resources allow and are mindful of C&E teams' statutory deadlines in 2024 when the databases might be hosted.</p>

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 55</p>	<p>to facilitate the move. However, ICT capacity within the project team was limited.</p> <p>In the light of the infrastructure risk posed by the ageing servers, in late 2022 the ICT hosting project team agreed to move the databases to Access’s hosted solution ahead of having a multi-factor authentication (MFA) solution in place for each route to the data. In short, it was agreed that the Council would accept the same level of security risk as the existing arrangements posed.</p> <p>As a result of the ICT re-organisation, membership of the ICT hosting project team changed. And with that so did the ICT view on how to proceed. It was subsequently determined that to comply with corporate security requirements, MFA would be needed before the databases could be moved to the hosted solution. This negated the then hosting timetable.</p> <p>This work is in abeyance, pending the identification of multi-factor authentication (MFA) solutions for each route into the two databases (Synergy Core Education and EISi Case Management and the three portals, parent portal, provider portal and the school access module portal).</p>		
<p>Implementation of data security requirements</p>	<p>The Council’s ICT security policy necessitates the implementation of appropriate security arrangements. This includes having multi-factor authentication (MFA).</p> <p>In June 2021, a formal work package was assigned to ICT management colleagues to put MFA solutions in place for each route to the data.</p>	<p>Ryan Brooks, Security/Technical Architect</p>	<p>Papers suggesting solutions have been taken to the Technical Design Authority (TDA) meetings in late November 2023 and early December 2023. The TDA has approved in principle solutions. Plans for their implementation now need to be drawn up with service managers.</p>
<p>Application Support team</p>	<p>Establishment of a Synergy Application Support team consisting of 4 permanent posts. This will provide the minimum level of support required given the scale of the Synergy infrastructure.</p> <p>Team staffing complement Synergy System Manager x 1 Synergy System Analyst x 2 Associate Synergy System Analyst x 1</p>	<p>Jacquie Burke / Paul Senior</p>	<p>The recruitment campaign, offering 12 month fixed term contracts failed. Not one of the 3 posts was filled. Meetings were held with ICT senior managers and Head of MISA to review what options are available to provide the support required. As was an Extraordinary Synergy Board meeting. Following the Board meeting the following two actions are underway: 1. Project Sponsor Monica Imbert is securing the funding for 3 permanent posts from CLT & 2. Head of MISA Simon Utting is securing short-term agency support 3. Non-urgent work has been rescheduled.</p>

CHILDREN & EDUCATION DIRECTORATE RISKS



Data Quality Framework	Capacity is in place to enhance and oversee the suite of data quality reports needed to ensure errors and duplicates are captured in a timely fashion.	Simon Utting, Head of MISA	Work to implement the data quality framework and review the findings from the suite of existing data quality reports is in abeyance until additional capacity is made available.
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
Annual changes to the National Funding Formula have a negative impact on HE income and delivery	National changes to funding and/or policy have a negative impact on HE income and delivery as well as the development of traded services which adversely affect HE performance.	Children and Education		Risk remains. Appropriate controls in place.

Control Title	Control Description	Service Manager	Control - Latest Note
Head of Service maintains comprehensive & timely modelling & monitoring of policy and funding changes – including academy conversion and new Free Schools - to report income implications for HE as well as assessing impact on delivery.	Modelling and monitoring of funding changes will support a clear understanding of the risk and potential impact and will inform HE's approach to meet implications.	Sajeed Patni	Monitoring of this risk continues through the monthly budget and through the Dedicated Schools Grant budget setting process.
Implications of changes to the National Schools Funding Formula are understood and monitored	Changes to the National Funding formula (NFF) are expected to have a significant impact on funding provision. Funding will follow the learner, with certain providers struggling to disaggregate funding due to the current method of allocation.	Ophelia Carter	Hackney's local formula currently mirrors NFF factors used to set the 2024-25 budget with the exception of basic entitlement (AWPU), where the LA is presently higher than the NFF and most other authorities. Monitoring of this risk is managed through staying informed and engaged with education policy updates at a national level.
Implementation of the Budget Reduction Plan	Budget reduction plans will be implemented to achieve reductions over the next two years.	Sajeed Patni	A DSG overall management plan has been submitted to the DFE as part of the Better Value (in SEND) work and has also been shared with Schools Forum. The plan will be actively monitored and reviewed annually.

<p>An effective strategy for supporting schools to manage budget deficits is in place</p>	<p>Schools are responsible for managing their finances. The local authority provides financial guidance as it recognises that significant deficits that go unchecked risk the broader financial resources available to all schools within Hackney.</p>	<p>Ophelia Carter</p>	<p>All maintained schools are expected to repay any deficits and must submit recovery plans to the local authority. These vary from one to five years depending on the size of the deficit and the potential impact of repayments on the school's performance. The Head of Schools Finance and Assistant Director, School Performance & Improvement, review the progress of these plans through regular meetings with the leadership (ie Headteacher, Chair of Governors and School Business Manager) of the schools.</p> <p>Income and expenditure of all Hackney maintained schools is monitored on a monthly basis. The data from this process is used to inform the heat map that is discussed at a termly 'All Services Risk Review Meeting'.</p>
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>Page 57 Long term viability of trading of HE services is not assured</p>	<p>The viability of traded services is at risk due to a number of factors that have become more acute or are expected to in the coming year(s). This includes a reduction in funding to schools which may result in lower orders, potential reductions in staffing at HE due to budget cuts which may impact on capacity, and services reluctance to trade out of borough to make up for any reduction in in-borough orders.</p> <p>The long-term strategic direction of HEd and the requirement to balance the delivery of traded versus statutory services will also have a crucial impact, potentially resulting in the geographical expansion, closure or transfer of some services.</p>	<p>Children and Education</p>		<p>Ongoing risk. Likelihood has reduced since last year to account for the strengthening of controls in place as part of the review of traded services that has been completed in 2023-24.</p>

Control Title	Control Description	Service Manager	Control - Latest Note
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CHILDREN & EDUCATION DIRECTORATE RISKS



<p>Ensuring there is a continued focus on the importance of trading and development of HE's traded offer.</p>	<p>Planned messages from senior leadership.</p> <p>Performance monitoring reports & termly meetings with key service managers to ensure development of their traded offer.</p>	<p>Connor Donnelly</p>	<p>Traded performance is being added to the SLG forward plan to increase opportunity to discuss and present performance of the traded offer. Extensive meetings with budget holders of trading services have been held to review the costing and financial position of each service which will inform product reviews and improve profit & loss reporting. The refreshed strategy is in development which will inform and support messages from senior leadership and monitoring and development of the traded offer.</p>
<p>An effective learning & development plan for traded services in place</p>	<p>Continue to identify commercial skills required by staff to promote a commercial structure.</p> <p>An effective L&D plan to be developed in conjunction with Business Implementation in OBIS.</p>	<p>Connor Donnelly</p>	<p>The existing commercial awareness training is under review. Learnings from the series of meetings with budget holders and services will inform refreshed content to enhance commercial skills required in the organisation to support a traded offer. The refreshed training offer can be expected by Q1 24/25.</p>
<p>Inducting new headteachers and business managers</p> <p>Ensuring customers are aware of HEd offer</p>	<p>Ensuring that headteachers & business managers are aware of HE's offer and do not automatically lean towards engaging suppliers they are aware of from their previous LA's.</p> <p>Prepare an induction plan that promotes HE products. Ensure traded services are included in headteacher inductions.</p> <p>Traded Services offer Business Manager Inductions.</p>	<p>Connor Donnelly</p>	<p>The traded offer and Services for Schools are included in the induction programme for new headteachers in Hackney. Forums such as the School Business Managers Forum and headteacher forums are being used to provide face to face service updates and build relationships. Business Implementation Lead and Services for Schools team are making regular visits to school business managers to build relationships to seek feedback on services and promote the traded offer.</p>
<p>Developing effective trading partnerships with external organisations</p>	<p>Identify potential for trading partnerships with other providers and develop where possible, maximising trading opportunities.</p>	<p>Connor Donnelly</p>	<p>Outreach to neighbouring London boroughs will be conducted in order to better understand current trading strategies. This could identify opportunities to potentially merge activities, combine resources and operate greater economies of scale. Thereby ensuring more cohesive market penetration efforts, in light of the London wide issue of falling roles.</p>

Ongoing & creative product development & renewal of service offer	Identify and invest in the development of existing and new products.	Connor Donnelly	Product reviews will be conducted using the SCAMPER framework to identify opportunities to Substitute, Combine, Adapt, Modify, Put to another use, Eliminate or Rearrange/Reverse items in the current catalogue. This will lead to a streamlining of the product portfolio in line with customers' most pressing needs, which in turn should positively impact available capacity of service delivery and inform a new product development process and regular product review cycle.
Increasing commercial acumen & skills across service leads	Align to a corporate commercial framework	Connor Donnelly	Order review meetings are booked before end of Feb to review order progress and highlight trade patterns and trends. Costing meetings have been conducted with all traded services budget holders and development of the record of commercial costs (ROCC) tool has allowed greater insight into fixed/variable costs and commercial recharges related to trading activity. The ongoing development of the commercial KPI dashboard will give service leads greater oversight and analytic capability allowing some customer profiling to take place, with further developments of data visualisation and comparative functions to be added on an iterative basis.

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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
The statutory requirements of the SEND aspects of the Children & Families Act are not met.	<p>The Children & Families Act places a statutory requirement to implement Education Health & Care Plans, provide support for SEND up to 25 years old, joint commissioning, implementation of a local offer and person-centred approaches to planning. Process and resources to support these changes must be implemented to ensure HE meets its statutory requirements.</p> <p>In addition to the impact on vulnerable children and young people, any failure to meet their statutory responsibilities would result in significant reputational damage to HE and LBH, leaving them open to challenge through SEND tribunals, the Local Government Ombudsman and possible Judicial Review.</p>	Children and Education		Ongoing Risk

Control Description	Service Manager	Control - Latest Note
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<p>Robust monitoring and challenge of arrangements in place with regular reporting process via SLT</p>	<p>Head of Service is responsible for implementing a comprehensive programme to ensure all statutory responsibilities are fully understood and met, including meeting the statutory 20 week deadline for completing an Education & Health Care Plan (EHCP). In order to achieve this the following will be undertaken:</p> <p>Develop robust quality assurance of case management with external moderation;</p> <p>Implement action plan based on self-evaluation/annual report and points identified in SEND inspection;</p> <p>Review SEND staffing levels to ensure sufficient capacity in face of increased demand</p> <p>Improve the quality and timeliness of advice from partner agencies; and</p> <p>Ensuring robust Post-16 Commissioning</p>	<p>Joe Wilson</p>	<p>QA process now in place since June</p> <p>SEND Action Plan established which went through Scrutiny and runs through to 2025</p> <p>Educational Psychology business case completed in September 2022</p> <p>Statutory performance risen to 62% on average</p>
<p>Restructure of service area to manage resources more efficiently, in line with statutory duties.</p>	<p>A redesign to an integrated SEND Service has been agreed. This will ensure a timely and robust discharge of the LA's statutory duties outlined in the CFA 2014 and SEND Code of practice.</p>	<p>Joe Wilson</p>	<p>Restructure is complete. Agreement with Mayor to conduct restructure review in Autumn 2024 to assess effectiveness and impact on outcomes.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>SEND funding – Escalating SEND spend has an adverse impact on HE and Council budgets</p>	<p>The number of pupils eligible for EHC Plans continues to increase at a significant rate exceeding the population growth in the Borough, the effect of which is to place the SEND budget in deficit. Statutory override is due to end in 2026 at which point the financial risks will need to be managed by the LA to avoid the potential for Section 114.</p>	<p>Children and Education</p>		<p>Ongoing risk.</p>

	Control Description	Service Manager	Control - Latest Note
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CHILDREN & EDUCATION DIRECTORATE RISKS



Ongoing work to develop plans/strategies to control/manage and maintain strong oversight over SEND spending.	SLT has approved a cost management plan to address the pressures placed on the SEND budget by increasing numbers of children and young people being eligible for EHC plans. The cost management plan is regularly reviewed by SLT.	Joe Wilson	As part of the Delivering Better Value Programme, The LA has submitted and had approval from DfE on its DSG Management Plan.
Forecasting of financial impact of SEND budget pressures.	Rapid, significant short term reductions in SEND costs and outlays will be difficult to achieve. Ensuring that the policy changes in the action plan result in medium term cost savings that relieve the pressures on the SEND budget, whilst ensuring the operational effectiveness of HE is not detrimentally affected by the overspend, is imperative.	Sajeed Patni	As part of the Delivering Better Value Programme, The LA has submitted and had approval from DfE on its DSG Management Plan
Changing the culture of SEND in schools and HE to implement the action plan.	If the action plan is to control expenditure and distribute resources fairly, changes in the existing culture in HE teams and schools must also change to critical assessment and the equitable distribution of limited resources. Collaborative working with schools will be necessary to ensure pupils' SEND needs are met from delegated SEND resources, with EHCP referral only for exceptional needs.	Joe Wilson	The Graduated Response Document was published in September 2021. This was followed by the introduction of the Team around the School model the following September (2022). This has coincided with increased pressure on school budgets as a consequence of falling school rolls and the impact of the cost of living crisis, amongst other factors, and an increase in the number of children identified with SEN. This is mirrored nationally and is hampering the required culture change in Hackney Schools. The restructure of the service area has led to an increase in the number of schools working with the support services in SEND.
The initiation of EHCP assessments is rigorously reviewed	The decision to initiate assessments needs to be rigorously reviewed to ensure the level of support is appropriate and sustainable. This may include senior managers signing off decisions, or refusing to do so.	Joe Wilson	This is governed by the statutory duties in the Children and Families Act 2014, Section 3. Whilst having implemented a robust Multi-Agency Panel to review the requests for new EHC Needs Assessment, because of the statutory duties it has not been possible to introduce a system of having senior managers signing off decisions or refusing assessments.

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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
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CHILDREN & EDUCATION DIRECTORATE RISKS

Insufficient provision to meet growing demand for SEND services.	Lack of resources to meet the growing demand for SEND support services means that HE is unable to meet its statutory responsibilities under the Children & Families Act.	Children and Education		Ongoing risk
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	Control Description	Service Manager	Control - Latest Note
Implementation of a SEND Provision Plan	An HE SEND provision plan is developed and implemented to address rising demand for SEND services. This will be monitored and updated on an annual basis.	Joe Wilson	The Education Sufficiency and Estates Strategy (ESES) was introduced to address issues around pupil population and create more special provision places for children with complex SEND. The need for SEND provision is being approached in 3 phases, with the first phase now complete. Work continues on Phase 1B and Phase 2.
Use of capacity in existing school building sites for falling rolls, to create more resource provision.	Ensuring an overview of additional surplus capacity is factored into SEND place planning over the coming 2 years.	Joe Wilson	The SEND Needs Analysis Paper (SNAP) 2021 recommended an increase of 150 places in specialist provision. This has been incorporated in the ESES. In September 2023, 74 new places opened at three settings in Hackney (50 places at Side by Side Special School, 12 places at Nightingale Primary School and 12 places at Simon Marks Jewish Primary School). In January 2024, consultations were launched on proposals to create three new Additional Resource Provisions (ARPs) at three schools in the borough, which would see 78 additional places made available.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
Outcome of SEND Local Area Partnership Ofsted inspection shows widespread/systemic failings, leading to significant concerns about Hackney CYP with SEND.	The Hackney Local Area was inspected by the Care Quality Commission (CQC) and Ofsted between 27th November 2017 to 1st December 2017, the report was published on the 18th January 2018. The inspection was in the first tranche of local authority inspections of, at that time, a new inspection framework. The report highlighted strengths and areas for development. The majority of the areas for development have been resolved. Since 2017 the inspection framework has focused on the lived experience of children and young people	Children and Education		Ongoing risk - on high alert for SEND inspection. Appropriate controls in place.

	and their families, which is a higher threshold of compliance. On the 13th June 2022 Ofsted and the Care Quality Commission consulted on a new inspection framework to reflect the changing landscape of the SEND system. It is expected that Hackney Local Area will be inspected in 2023, six years since its last inspection. To “pass” the new framework the local area must demonstrate that the last inspection findings have been discharged and the new framework focusing on impact on C&YP and families has been met.			
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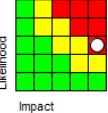
	Control Description	Service Manager	Control - Latest Note
Monitor and evaluate SEND Local Area subgroup's actions	Progress monitoring and evaluation of the actions in the 3 year plan by the SEND Local Area subgroup.	Joe Wilson	Updates reported to the SEND Partnership and SEND Executive Board chaired by the DoE. SEND Action Plan update to be considered by Scrutiny in May 2024.
Inspection readiness and monitoring for Annexe A	Inspection readiness preparations and monitoring - Annexe A, preparing partners and the service, communications	Joe Wilson	SEND Inspection Readiness Group made up of key partners meets fortnightly. Self-Evaluation is in a strong position.

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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
Introduction of new policies for SEND Transport results in significant challenge and judicial review	This risk is being proposed in the context of the LA's plan to consult on new policies for SEND transport services. The LA is seeking Cabinet approval to consult on these new policies, with implementation expected for September 2025. Changes to SEND Transport often results in judicial reviews of local areas.	Children and Education		New risk.

	Control Description	Service Manager	Control - Latest Note
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Engagement with legal and specialist consultants	Establish communication with legal authorities or organisations that specialise in SEND Transport law. Engage in proactive discussions to gain insights into potential legal challenges and strategies for minimising legal risks associated with policy changes.	Joe Wilson	Ongoing.
Develop a strong communications and stakeholder management plan	To ensure all stakeholders are appropriately briefed on changes, including key dates for Cabinet consideration etc.	Joe Wilson	Consultation period currently active for new home to school travel policy for children and young people with SEND.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>Page 64</p> <p>Serious safeguarding failure in schools & settings</p>	<p>A failure of safeguarding systems and processes, through a lack of coordination between partnership-wide services or professionals, could contribute to a serious safeguarding issue, which would impact negatively on Hackney Education's reputation.</p> <p>Additionally, the accessibility to the internet and social media opens children & young people to increased safeguarding risks, as well as risks of harmful cyber bullying, grooming, sexual abuse and exploitation. Schools need to be wise to these issues and implement appropriate training, programmes & strategies to mitigate risk and raise awareness amongst children & young people and their families. This should be approached as a whole school issue and embedded within the curriculum, supported by a suitably skilled and experienced member of school staff who can take lead responsibilities on this issue.</p> <p>This is an ongoing risk given HE's responsibilities; there is always a degree of uncertainty due to the nature of this risk, coupled with movements of individuals in and out of the Borough.</p>	Children and Education		Ongoing risk

	Control Description	Service Manager	Control - Latest Note
<p>Core Safeguarding training offered to schools, governing bodies & settings and support to DSLs</p> <p>Page 65</p>	<p>School governing bodies are responsible for ensuring that school staff have completed the relevant safeguarding training. The HE Wellbeing and Education Safeguarding Team provides training through a CPD package. We will provide advice, guidance and work in collaboration with the City and Hackney Safeguarding Partnership to:</p> <p>Remind schools and governing bodies of their statutory responsibilities to provide safeguarding training on regular basis; and</p> <p>Raise awareness of e-safety strategies, within the broader context of child protection/safeguarding – link to S11 audits</p> <p>Support Designated Safeguarding Leads (DSL), particularly newly appointed DSLs, in fulfilling their duties through the DSL forum and other support with specific education safeguarding issues.</p>	Katherine Cracknell	<p>All described support continues and as these have become better embedded, further join up with HE and CSC/DAIS has supported the co-delivery of training for schools on key topics (eg the revised FGM protocol has been published and alongside this we delivered a webinar for schools which was recorded and made available online).</p>
<p>Information sharing activities in place across partner agencies</p>	<p>HE is represented on local Safeguarding Boards at all levels, and work proactively across Children & Education Directorate by contributing to all safeguarding forums and initiatives, subject to capacity. The HE contributes to all reviews & multi-agency audits as required by the Safeguarding Board, and implements all actions.</p> <p>HE's membership of the Ofsted Preparation Group for Ofsted inspections provides the opportunity to establish and use linkages to share information.</p> <p>HE disseminates to schools briefings based on the findings of Serious Case Reviews. All published SCRs have been shared at Headteacher termly briefings, and with Schools and Settings after discussion and agreement with HE SLT.</p>	Katherine Cracknell	<p>All described support and measures continue, in addition regular meetings between HoS and CSC, Legal and LADO have begun to ensure a full picture of the safeguarding picture, arising/unmet need and planned responses is maintained.</p> <p>Our MASH Education Officer attends daily risk management meetings in MASH, supporting at strategy meetings, HE is consistently represented at LADO and strategy meetings, and works closely in partnership with our LADO and social care to ensure schools are informed and able to assess risk using the best information available. In Spring and Summer 2023 collaborative work between HE and CSC saw key information shared with school leaders about specific individuals that posed a risk (and had potential access to) children in our Hackney schools.</p>

<p>Monitoring of Safeguarding and Safer Recruitment issues through School Improvement Partner visits.</p>	<p>Oversight of any concerns picked up through SIP visits and Supported Schools process used to inform interventions and support provided to schools</p>	<p>Jason Marantz</p>	<p>This process continues.</p>
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>Page 66</p> <p>Risks posed to children not in school, particularly those attending unregistered schools and settings.</p>	<p>Safeguarding considerations for those pupils who are not registered at a school – Electively Home Educated pupils, children missing from education, children attending unregistered settings, children who are yet to be allocated a school place etc This is the particular focus for current Local Authority Safeguarding Inspection frameworks, and there is an expectation that HE must work with partners to ensure effective and robust identification, tracking, consultation and referral.</p> <p>Unregistered centres are neither known to, nor inspected by Ofsted, raising potential issues relating to the wellbeing and safeguarding of children and young people in the borough. HE does not have any statutory powers or reporting requirements in regard to the registration of independent schools.</p> <p>As well as the potential risk around safeguarding and lack of knowledge and intervention in regard to those young people attending such settings, there are clear reputational risks for HE in this area. Despite the fact that HE holds no powers in regard to either registration or closure, there remains the perception that the Local Authority has not presented sufficient challenge to the status of such settings.</p>	<p>Children and Education</p>		<p>Risk remains unchanged, likelihood and impact continues to be high</p>

Control Description	Service Manager	Control - Latest Note
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CHILDREN & EDUCATION DIRECTORATE RISKS

<p>Coordinating multi-agency responses, HE escalates any issues relating to the safeguarding of children or young people attending unregistered schools or settings.</p>	<p>HE is aware of unregistered schools and settings within the borough, we are escalating to the appropriate authorities Children and Social Care any issues of concern reported to them. HE co-ordinates multi-agency responses in regard to those settings that do not comply with Ofsted registration requirements.</p>	<p>Katherine Cracknell</p>	<p>This continues to be a significant risk both in terms of reputational risk to the Council, and also risk of harm to children in our community. HE coordinates a UES protocol which Ofsted notes as the most successful response they have seen nationally, and Council officers are due to report to CYP Scrutiny Commission around the risk in January 2024. This scrutiny report will be agreed by the UES Working Group (forms the senior arm of our UES processes in Hackney Ed).</p>
<p>Continuing attempts at engagement with unregistered settings are made by HE to reduce the likelihood of pupils being put at risk.</p>	<p>In the absence of clearly defined statutory responsibility and given the numbers of CYP in such settings, the LA is seeking to raise awareness of safeguarding with all community groups through regular dialogue and the systems developed through the Out of School setting project which has now ceased, and the unregistered educational settings group.</p>	<p>Katherine Cracknell</p>	<p>Dialogue with the Secretary of State and DfE continues.</p>
<p>Ongoing dialogue between HE, DfE and Ofsted around necessary legislation to ensure safeguarding duties can be effectively carried out.</p>	<p>Currently, the roles and responsibilities of LAs, DfE and Ofsted are not clearly defined with regard to safeguarding duties.</p>	<p>Katherine Cracknell</p>	<p>All of the described applies still, however in addition to this concern, there is a renewed focus on pupils out of schools and the EHE consultation looks to suggest that revised legislation will recommend we begin to use SAOs (school attendance orders) to manage our UES cohort, who often cite EHE and we are obliged to list as CME when we are unable to assess education suitability. A rising cohort of EHE children (in line with an over-reliance on exclusions and decline in attendance rates since Covid) suggests that there is a rise in children being out of schools. We currently do not have adequate resources to meet our statutory obligations around EHE but this is being mitigated in discussion with SLT.</p>
<p>Continuing attempts at engagement with unregistered settings are made by HE to reduce the likelihood of pupils being put at risk.</p>	<p>In the absence of clearly defined statutory responsibility and given the numbers of CYP in such settings, the LA is seeking to raise awareness of safeguarding with all community groups through regular dialogue.</p>	<p>Katherine Cracknell</p>	<p>All of the described applies, in addition we have established positive engagement around attendance support with 70% of our Charedi independent schools, have put on several community specific training sessions for Charedi school colleagues, as well as an ongoing programme of opportunities to troubleshoot, share best practice and undertake termly advice meetings around attendance concerns.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
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<p>High levels of pupil exclusion</p>	<p>An increase in suspensions and exclusions would affect HE reputation and the organisation's financial position, as HE is responsible for provision for permanently excluded pupils (cost implications of permanent exclusions). In addition to the financial and reputational risk to schools, there is also an increased risk of OFSTED focussing on Hackney schools for inspection.</p> <p>HE cannot intervene in school decision making, but should seek to influence school policy and practice through existing and novel mechanisms, including Supported Schools secondary B&A, fair access. Strategies for an effective approach to exclusions must draw on the expertise of partner agencies such as Young Hackney.</p>	<p>Children and Education</p>		<p>Risk remains high particularly for secondary schools though lower risk for primary schools.</p>
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	Control Description	Service Manager	Control - Latest Note
<p>Monitoring & sharing of exclusions, attendance and related data</p>	<p>Monitoring & sharing of exclusions, attendance and related data between schools and at Behaviour and Attendance (B&A) Partnerships to inform practice and develop strategies.</p> <p>Monitoring of equalities data with regard to proportionality of exclusions.</p>	<p>Katherine Cracknell</p>	<p>Exclusions data is now shared at SLG on a monthly basis and interrogated for disproportionality. Briefings have been held with school colleagues and Council Officers to inform a systems approach to developing better inclusion in the Borough. Council officers reported progress to the CYP Scrutiny Commission in November 2024 and shared data. We now have a school attendance support service in place delivering a universal response to attendance as well as a traded option. The way we share information to get a picture of inclusion, behaviour and wellbeing in the borough is being considered currently at Director of Ed level and developments here should help to mitigate this risk even further.</p>
<p>Strategic approach in place there is sufficient, high quality Alternative Provision</p>	<p>HE uses its commissioning role to work to ensure there is an adequate high quality alternative provision offer in place to meet statutory responsibilities and to minimise the potential impact on individual pupils following exclusion.</p>	<p>Joe Wilson</p>	<p>A revised alternative provision strategy and 2-year transformation piece of work is being developed to improve Hackney's approach to AP and act as a driver for inclusion. This was presented to the Scrutiny Commission on 30 November 2023. The SEND Partnership Group which has now been recalibrated in terms of focus and membership to include a priority focus upon Alternative provision to oversight this work.</p>

<p>Use of Local Partnerships</p>	<p>The Behaviour Partnership provides a forum for challenge, strategic planning and consultation for all secondary schools & academies and now primary schools. Partnership working with Young Hackney is encouraged to ensure a whole family approach to behaviour management. This provides a forum for promoting inclusive whole school practice.</p>	<p>Helena Burke</p>	<p>Behaviour and Wellbeing Partnership continues to operate as a well attended forum for professional challenge. It provides an effective link to other offers including WAMHS and the REU.</p>
<p>Development & implementation of work to reduce exclusions</p>	<p>HE encourages engagement with schools and other partner agencies to ensure awareness and engagement with initiatives and interventions with the aim of reducing exclusions; this will be done through promoting both inclusive whole school practice and providing support for individual children.</p>	<p>Katherine Cracknell</p>	<p>The Re-Engagement Unit now receives 40% of all of their referrals from secondary school cohort, which shows steady growth across 12 months and suggests we are growing in our capacity to deliver targeted support where it is most needed (secondary exclusions are a significant concern).</p>

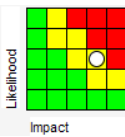
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>Elective home education arrangements not meeting statutory obligations</p>	<p>A rising risk within the Pupils Out of Schools area - reported in more detail here in July 2023. Current resourcing means statutory obligations are not able to be met with 1FTE to oversee a cohort of over 300 children (with rising levels of complexities in SEND and CSC). An interim recovery plan/control measure is in place for this, and currently the Head of Service and other senior managers in the service with teaching qualifications are undertaking EHE assessments.</p>	<p>Children and Education</p>		<p>New risk. A report is scheduled to be considered by the Education SLT for April 2024 which describes a revised model of working to address this risk. This will have cost implications.</p>

	Control Description	Service Manager	Control - Latest Note
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CHILDREN & EDUCATION DIRECTORATE RISKS

<p>Approve recruitment to clear the backlog and work towards meeting our statutory obligations at the earliest opportunity</p>	<p>Recruitment was approved at SLT, however the following processes to complete this approval will now be actioned to allow for a timely response to need, alternatively the additional processes around recruiting to statutory services will be removed from the standard process to enable a simpler and more efficient way of approving and tracking recruitment approvals</p>	<p>Katherine Cracknell</p>	<p>This request was approved outside of process as the risk had escalated due to lack of action. A temp post for one term was approved however we have not been able to recruit to this. Currently senior leaders continue to look to manage the backlog, and a paper will return to SLT in April 2024</p>
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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>Expansion to free childcare entitlement: Risk of Failing to Fulfil Statutory Obligations for Adequate Childcare Availability</p>	<p>The LA has a statutory duty to ensure there are sufficient early year places for parents to access affordable childcare. An increase in demand for these places is expected with the expansion of the free childcare entitlement offer from April 2024. There is a risk that the LA will not be able to meet this increased demand (both in terms of sufficiency of places, but also supporting technology) and therefore fails to meet its statutory duties.</p>	<p>Children and Education</p>		<p>New risk. The likelihood of risk has reduced somewhat now that sufficiency assessment was completed.</p>

	Control Description	Service Manager	Control - Latest Note
<p>Appoint a consultant to implement a payment file enhancement</p>	<p>Currently payments are developed in part through the use of excel spreadsheets. A site visit to West Cheshire and Chester showed the team a more streamlined approach which relies solely on Synergy. On reviewing this and the proposal from Access the module required to facilitate this work has been bought and enabled. Without an adequately resourced Synergy Application Support team in place, there is no capacity to configure the payment file nor do the extensive UAT and configuration tweaks. Consequently, to enable this more efficient payment file creation approach to be adopted a Synergy Consultant is required.</p>	<p>Joss Thomas</p>	<p>A consultant has been hired, but delays have occurred due to challenges in getting them access to required environments.</p>

<p>Configure Synergy (as the enabling technology platform) to enable the expanded entitlement to be processed</p>	<p>The LA relies upon Synergy as a platform through which early year settings add data on children who are entitled to free childcare so that the LA can accurately provide payments to those settings. With the expansion in April 2024, there are more children and areas the LA must fund, and Synergy needs to be able to accommodate these needs and increase in demand.</p> <p>The census data pulled from Synergy is required to inform the DfE of the LA's funding requirements. If this is done incorrectly, there is a risk that the LA is underfunded by DfE, but is still required to provide these payments.</p>	<p>Chris Marriott</p>	<p>Struggling to get an IT trainer to support the configuration roll out.</p>
<p>Steering Group introduced to oversee the implementation of the expansion of the entitlement</p>	<p>A steering group meets fortnightly to oversee and manage the sufficiency of early year places. Membership includes representatives from IT & IP&P to ensure Synergy can host and accommodate needs.</p>	<p>Tim Woolridge / Donna Thomas</p>	<p>Steering group continues to meet fortnightly to oversee Synergy configuration, Payment file development, End user support and Sufficiency. Membership of the group reflects the needs and priorities.</p>
<p>Complete an updated Childcare Sufficiency Assessment to inform capacity requirements</p>	<p>In conjunction with MISA, undertake a sufficiency assessment of capacity and vacancies for early year settings to align with changing demand and geographical profile of the borough.</p>	<p>Tim Woolridge / Donna Thomas</p>	<p>Sufficiency assessment has been completed and indicates that there are sufficient places to meet the expected increase in demand for places in April 2024 (for working parents of two year olds) and in Sept 2024 (for working parents of one year olds) in each ward.</p>

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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>Sustainability of the Council's Children's Centres</p>	<p>The current model of childcare provision delivered within Hackney's Children's Centres is not financially sustainable. It has been identified as a high area of spend and budget pressure in the Council's Medium Term Financial Plan.</p>	<p>Children and Education</p>		<p>New risk.</p>

	Control Description	Service Manager	Control - Latest Note
Reduce expenditure	An independent review of Children's Centre childcare provision, undertaken by Ernst and Young, identified opportunities to reduce expenditure, increase income and refine the model. Cabinet is considering a proposal to consult on these changes in December 2023.	Donna Thomas	On 22 January, Cabinet decided to begin a 12 week statutory consultation and engagement period (31 Jan to 24 April) on the restructuring of early education and childcare provision delivered by the children's centres funded by the Council to deliver subsidised childcare, as a means of achieving greater efficiency. Proposed closures and restructures will take place from September 2024.
Increase income	As above.	Donna Thomas	As above.
Implementation of new delivery model	As above.	Donna Thomas	As above.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
Family Hubs Programme Timeline and Resource Capacity	The family hubs programme faces risks related to its timeline and resource capacity. The availability of three-year funding hinges on meeting specific spending deadlines, with potential clawbacks threatening the program's progress. Delays in procurement, capacity issues, and gaps in senior leadership contribute to these risks.	Children and Education		New risk.

	Control Description	Service Manager	Control - Latest Note
Streamlined procurement	Implement more efficient and timely procurement practices to avoid delays, ensuring compliance with regulations and timely spending.	Sarah Bromfield	Temporary procurement officer has been appointed, 3 days per week for 6 months.

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Resource recruitment	Prioritise recruitment of necessary staff to alleviate workload and capacity concerns within critical areas like commissioning, HR, communications, and IT support.	Sarah Bromfield	Ongoing, reviewed as part of the weekly project stand-up
Project management	Implement robust project management practices to oversee and coordinate various aspects, ensuring efficient execution and resource allocation	Sarah Bromfield	Clear governance, accountability, structures and systems in place.
Well-defined governance structure	Put in place a well-defined governance structure with strategic groups, reference groups, and task and finish groups overseeing and guiding the family hub initiatives. This structure provides oversight and helps in decision-making and strategy implementation.	Sarah Bromfield	Ongoing, weekly project group standups. Fortnightly task and finish groups, monthly reference groups and monthly strategic oversight groups. All feeding into the transformation programme overview with Ross Tuckley

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Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
Emergency closure of a school due to lack of pupils, staff or funding	66% of primary schools are predicted to have an in-year deficit in 2023/24. Reception class demand is predicted to fall from 2,284 in 2023 (actual) to 2,146 in 2026; a reduction of 138 (4.6 classes) on top of the existing surplus of 21%.	Children and Education		New risk

	Control Description	Service Manager	Control - Latest Note
Create a business continuity plan to manage potential emergency closure	The plan to be developed with the school community, resourced, taking into account lag funding and the need for one off contingency funding.	David Court	Development of plan underway.

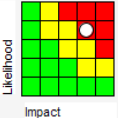
Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
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<p>Vulnerable families are not adequately supported through the transition process of school closures/amalgamations</p>	<p>School closures will impact the most vulnerable Hackney residents disproportionately with higher FSM rates and other measures of deprivation observed in a majority of the schools proposed for or at future risk of closure. The Council has a responsibility to provide financial and emotional support to pupils and families through this period of uncertainty and change, to ensure families and children have the best possible transition to a new school.</p>	<p>Children and Education</p>		<p>New risk</p>
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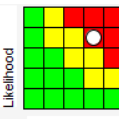
	Control Description	Service Manager	Control - Latest Note
<p>Adequately resourced project team to deliver support offer for parents and staff</p>	<p>Ability to support vulnerable residents is directly linked to having adequate capacity within the project team to do so.</p>	<p>David Court</p>	<p>Appointment of new resources within the project team. A Transition and Community Cohesion Lead has recently commenced to support some of this work.</p>
<p>Implementation Plan</p>	<p>A School Closure/Merger Implementation Plan has been developed to ensure a smooth transition for students, staff, and parents during the closure/merger process.</p>	<p>David Court</p>	<p>Support offer for pupil transition and affected families developed.</p>
<p>Strong communication strategy</p>	<p>A Phase 4 Communications Plan has been developed to map out the communication needs and delivery for the next step of the school estates project, after the end of the statutory notice period.</p>	<p>David Court</p>	<p>Comms will develop a Phase 5 comms plan, to cover the period between the beginning of the year and the final closure / merger of schools. This will include periodic updates on the support offered to families and schools, reactive lines and responses to media enquiries etc.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
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CHILDREN & EDUCATION DIRECTORATE RISKS

<p>Increased risk of falling rolls in Secondary schools</p>	<p>There is now a visible impact of falling rolls at secondary transfer this year - 169 fewer on-time 1st preferences have been expressed for Hackney secondary schools.</p> <p>Competition from neighbouring borough e.g. Tower Hamlets that has also announced FSM to all secondary schools from April 2024</p> <p>Schools in the borough may become more appealing to families given the cost of living crisis</p>	<p>Children and Education</p>		<p>New risk</p>
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	Control Description	Service Manager	Control - Latest Note
<p>Ensure Hackney schools are promoted effectively</p>	<p>Highlight the quality education, achievements and the overall positive environment and offer in local Hackney Schools</p> <p>Identify potential families at risk of transferring to Tower Hamlet schools and ensure they are aware of Hackney's offer.</p>	<p>David Court</p>	<p>Working ongoing and built into project plans.</p>
<p>Monitor impact of falling rolls</p>	<p>A Falling Rolls Advisory Group has been established to provide support and challenge to implement the local authority's education sufficiency and estate strategy with a focus on falling rolls and surplus places.</p>	<p>David Court</p>	<p>Falling Rolls Advisory Group (including Heads, Chair of Governors) commenced on 8 February 2024. This group will look to prioritise secondary schools for action before the summer holidays.</p>

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
<p>Lack of resources to support implementation of future school closures</p>	<p>It is likely that more schools will need to close/merge. The resources required to support the proposal and implementation process alongside the existing implementation programme is high. If the implementation of</p>	<p>Children and Education</p>		<p>New risk.</p>

CHILDREN & EDUCATION DIRECTORATE RISKS



	school closures is protracted this will lead to a greater cost to the Local Authority.			
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	Control Description	Service Manager	Control - Latest Note
Adequately resourced project team	Adequately resourced project team to deliver further closure proposals alongside existing closures	David Court	Permanent Assistant Director role being recruited. This may impact key officers leading the ESES work.
Decommissioning Plan	An action plan for each school to be closed/merged to be developed to outline the key steps and actions required to ensure successful transition. This includes for asset and operational matters.	David Court	Action plans have been developed.
Watchlist Working Group	Confirm the timetable for future closure/mergers.	David Court	A Watchlist Timeline proposal that structures actions around a four term cycle has been developed.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
Schools voluntarily elect to academise, impacting HE's finances and structure and the benefits of a locally led and aligned school system.	The Schools Bill (formerly called the Education White Paper) was formally scrapped by the government in early 2023. This removed the imminent threat of forced academisation however several faith bodies are still looking at local academisation. Also, the local landscape (e.g. falling rolls) still poses a risk.	Children and Education		Risk continues. Cardinal Pole and St Monica's Primary are converting to the Lux Mundi MAT from 1 September 2024.

	Control Description	Service Manager	Control - Latest Note
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System redesign of the school improvement model to provide an effective governance and partnership structure for the local schools system.	An alternative model for guiding the Hackney school improvement system has been successfully developed to work within the academised school system. This retains the capacity for the strategic and system-wide provision of school improvement and Supported Schools functions to ensure continued school improvement.	Jason Marantz	A new model is developed and piloted and will be presented to schools to confirm the family of schools model and leverage school support. Formal signoff with SLT in the spring.
Strong partnership model and school improvement local offer that provides ongoing benefit and value to schools.		Jason Marantz	A brokering and commissioning framework is being proposed as part of the model in order to continue to engage schools as part of the Hackney family.

Risk Title	Description of Risk	Directorate	Current Risk Matrix	Risk - Latest Note
Effectiveness of provision in nursery and primary schools or settings declines, stagnates or fails and goes into special measures with risk of not passing an Ofsted inspection	The overall effectiveness of schools or settings defined by: 1. Inspection Outcomes - proportion of pupils attending good or better schools reduces, leading HE to engage with Ofsted to challenge schools under the Good to great policy. 2. Pupil Outcomes - Performance gaps for disadvantaged, SEND and other focus groups are not narrowed. 3. 3. Pupil outcomes fail to improve - the quality of provision in schools or settings fails to improve, leading to plateau and coasting year to year at borough level. n 4. Ofsted judgement of requiring improvement or inadequate, or where the school meets the DfE coasting criteria	Children and Education		Ofsted inspection grades for primary and nursery schools in Hackney in January 2024 are as follows: Outstanding – 23 schools (39.0%) Good – 35 schools (59.3%) Requires improvement – 1 schools (1.7%) Inadequate – 0 schools (0%)
Effectiveness of provision in secondary schools or settings declines, stagnates or fails and goes into special measures with risk of not passing an Ofsted inspection				Ofsted inspection grades for secondary schools in Hackney in January 2024 are as follows: Outstanding – 3 schools (20%) Good – 11 schools (73.3%) Requires Improvement – 1 schools (6.7%) Inadequate – 0 school (0.0%)
Effectiveness of provision in special schools or settings declines, stagnates or fails and goes into special measures				Ofsted inspection grades for special schools in Hackney in January 2024 are as follows: Outstanding – 2 schools (66.7%) Good – 1 school (33.3%) Requires Improvement – 0 school (0.0%)

				Inadequate – 0 schools (0.0%)
Effectiveness of provision in Pupil Referral Unit declines, stagnates or fails and goes into special measures				Hackney’s PRU provision has been judged by Ofsted as good. In addition, The Boxing Academy (Free School, Alternative Provision) has been judged as Outstanding.

	Control Description	Service Manager	Control - Latest Note
The School Improvement Programme offers rigorous support and challenge to help schools maintain high performance and outcomes.	Quality of the SIP programme offer. Effectiveness of school focussed support and challenge.	Jason Marantz	Service provision through the School Improvement Programme continues.
High quality traded offer that is fit for purpose and meets school needs	Quality of provision (particularly teaching, learning & assessment), the reading programmes and leadership and management (with a particular focus on sustained capacity for improvement) will be key aspects of the support provided. Increasing the levels of buy in from schools in Hackney and out-borough will increase the capacity for a viable school improvement service.	Jason Marantz	Traded offer with external boroughs such as Redbridge and Southend continued throughout 2023-24. We were commissioned to organise a conference for a group of Headteachers from Southend in November 2023. We have provided school improvement work both in the borough (One Day Reviews) and outside the borough (Suffolk). Early Career Teachers’ (ECT) Induction and Appropriate Body work- We have made close links with our regional teaching school hub in Tower Hamlets and have provided services for ECTs which has brought in £40,000 revenue.
Supported Schools approach continually reviewed	Good to Great Policy is enacted to identify and support schools who are at risk of failing to provide a good quality of education.	Jason Marantz	14 schools received support in 2022-23. Of those four received Ofsted inspections, all of which were successful. Progress was recorded for all schools of which one did not make sufficient progress. Five schools will exit and return to core support. One other secondary is likely too yet August results will inform this further. Four primaries identified for exploratory meetings in September to discuss potential support.

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<p>Pupil support</p>	<p>Pupil outcomes/underachieving pupils will be an aspect of the package of support as well as a key focus of the de-delegated Raising Achievement support offer.</p>	<p>Jason Marantz</p>	<p>Raising achievement programmes have been expanded for 2022-23 to include: three reading programmes, a revamped maths programme aimed at Year 3 pupils, an externally offered writing programme, an enrichment language/music trip, the return of the secondary offer and the proposed return of the staff training offer. A pilot project aimed at secondary schools with the external body Flair, to look at anti racist metrics in schools, is being developed through raising achievement. SIP reports continue to record achievement and issues are picked up and actioned through quality assurance. Prompts to look at addressing gaps will continue. Traded work to look at gaps for SEN pupils and provision continues to be the main source of interest,</p>
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